GLOBAL BUREAU ENVIRONMENT CENTER

FY 2002

RESULTS REVIEW AND RESOURCE REQUEST

April 3, 2000

The attached results information is from the FY 2002 Results Review and Resource Request (R4) for G/ENV and was assembled and analyzed by USAID/G/ENV.

The R4 is a "pre-decisional" USAID document and does not reflect results stemming from formal USAID reviews. Additional information on the attached can be obtained from David Grossman, G/ENV/DAA.

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1611 N. Kent St., Suite 200
Arlington, VA 22209-2111
Telephone: 703/351-4006 Ext. 106
Fax: 703/351-4039
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Please Note:

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INTRODUCTION

Summary of Progress in Implementing G/ENV's Strategic Plan

Overall performance ratings for the Global Environment Center's three strategic support objectives (SSOs) and one special objective (SpO) ranged from *on-track* to *exceeding targets* in FY 1999. All SSO teams consistently achieved, and in several cases exceeded, program targets that reflect the environmental and development results the Center pursued in collaboration with missions, bureaus, cooperators, contractors, and other partners. In addition, the Center's teams remained on-track in realizing their value-added role as the Agency's primary providers of technical assistance and management support for environmental programs. Key factors that contributed to successful performance included the increased utilization of Center procurement vehicles; expansion of USG, NGO, and private sector partners available to assist in implementing programs; and adoption of integrated approaches for environmental management. While FY 2000 funding levels are expected to rebound from FY1999 cuts for most SSOs, the Center remains concerned about the long-term viability of its urban SSO should current negative budgetary trends continue in the future.

Fiscal Year 1999 was in many ways a year of contrasts. The new millennium brought celebrations of technological feats, economic prosperity, and medical breakthroughs. Yet, the year also brought warnings that the 1990s were the warmest decade on record, that population growth is outstripping the ability of governments to provide even the most basic urban and energy services to their citizens, and that degradation of the world's most biologically and economically rich habitats continues unrelentingly. To the average American, these problems may appear to be intractable and far-removed. However, this year's R4 for the Global Environment Center (G/ENV) offers evidence that USAID and the rest of the international environmental community are developing effective approaches and achieving meaningful results to tackle these troublesome trends.

Since FY 1996 when the Center developed its current strategic plan, G/ENV has pursued three strategic support objectives: promote the sustainable use of natural resources (SSO1), improve the urbanization process (SSO2), and increase the use and provision of sustainable energy (SSO3). In FY 1998, the Center added a special objective to support USAID's Climate Change Initiative (SpO1). Performance findings in FY 1999 show that G/ENV is achieving tangible results and promoting long-term development processes to address a number of serious global and local environmental threats, as indicated in Table 1.[1] In addition, G/ENV is fulfilling its role as USAID's principal in-house source of technical assistance, policy and strategic leadership, and management support for the environment.

[1] G/ENV assesses its performance based on findings from two categories of indicators. *Program indicators* measure the on-the-ground environment and development results achieved in collaboration with a broad array of partners, including missions and bureaus. *Value-added indicators* capture the Center's role within USAID as a provider of field-level technical assistance, management support, procurement mechanisms, and policy and strategic leadership within the Agency as well as on behalf of the Agency at USG and international venues.

Table 1. Summary of G/ENV Performance in FY 1999

Overall Performance Rating		SSO Indicator Ratings	
SSO1 - Increased and Improved Protection and Sustainable Use Of Natural Resources	On-track	Hectares under effective management	On-track
		Hectares under improved management	Exceeded
		Number of policy successes	On-track
		Value-added indicators for field support, Agency and international leadership	On-track
SSO2 - Improved Management of Urbanization in Targeted Areas	Exceeded	Households benefiting from improved urban environmental services	Exceeded
		Progress toward implementation of improved urban environmental management systems.	Exceeded
		Value-added indicators for field support, Agency and international leadership	On-track
SSO3 - Increased, Environmentally Sustainable Energy Production and Use	Exceeded	Greenhouse gas emissions avoided	Exceeded
		Private and public investment leveraged	Exceeded
		Value-added indicators for field support, Agency and international leadership	Exceeded
SpO1 - Agency Climate Change Program Effectively Implemented	Too early to determine*	Hectares where USAID has initiated interventions to maintain or increase carbon stocks or reduce their rate of loss	Too early to determine*
		Millions of metric tons of carbon dioxide equivalents avoided due to USAID assistance	
		Number of policy advances in support of participation in UNFCCC, in the land use/forestry sector, and in the energy sector, industry or urban areas	
		Number of capacity building activities and institutions strengthened in support of participation in UNFCCC, in the land use/forestry sector, and in the energy sector, industry or urban areas	

* The SpO1 team collected baseline information for SpO1 indicators in FY 1999, and will report on performance starting in FY 2000.

Key Program Achievements

- *SSO1 was on-track for achieving its FY 1999 targets by helping 43 countries promote the sustainable use and management of their forests, biodiversity, coasts, and other natural resources.* The team improved the management of 26.3 million hectares—an area larger than the state of Wyoming—significantly exceeding its target of 16.0 million hectares. As a result, 1.3 million hectares have achieved both demonstrable management and environmental gains for effective management. In Indonesia, for example, SSO1 is helping to save over 6.6 million hectares of rain forest, coral reefs, and other biologically rich areas from the potentially damaging forces of mining, large scale logging, and destructive fishing. The team also worked in countries as diverse as Russia, Indonesia, and Mexico to combat forest fires; results included reducing the average area burned per fire in Mexico's Sierra De Manantlan Biosphere Reserve from 502 hectares in 1998 to 204 hectares in 1999.

In addition to these program results, the SSO team worked with more than 30 missions and bureaus to support the Agency's natural resource management and biodiversity conservation objectives. The team attracted $36.6 million to its procurement vehicles, including task orders to its new IQCs for integrated coastal and water resources management and for biodiversity conservation and forestry. The team also launched the $33 million Global Conservation Program.

- *SSO2 exceeded its performance targets by helping 273,905 households benefit from improved urban environmental infrastructure, considerably above the 50,500 households targeted*. In addition, the team assisted 11 municipalities to implement urban environmental management systems. Key program results included the design and approval of 1,700 labor-intensive infrastructure projects in Indonesia, which will generate roughly 190,000 person years of employment; the development of rental housing and ownership opportunities in collaboration with 43 housing groups in Johannesburg; and the approval and disbursement of mortgages for 100,000 homes by 20 commercial banks in Poland.

  The team worked in 35 countries to provide 938 days of field assistance from USAID/ Washington staff and approximately 950 days of support from staff based at the Regional Urban Development Offices (RUDOs). Highlights included developing five of the Agency's first eight Development Credit Authority projects, and leading disaster response and reconstruction efforts in urban environmental issues following Hurricanes Georges and Mitch. Field staff at the RUDOs assisted in developing loans worth $135 million from the Inter-American Development Bank and World Bank in Honduras and Zimbabwe.

- *SSO3 worked with 24 countries to exceed its performance targets geared toward the production and use of environmentally sustainable energy*. The team helped reduced carbon dioxide emissions by 967,000 tons, exceeding its target of 510,800 tons, and helped generate $208.4 million for environmentally sound energy projects in six countries at the multilateral development banks (MDBs). Furthermore, the team pursued several new activities aimed at achieving better technical and program integration through public and private sector collaboration, including the South Asia Regional Energy Initiative (SARI) and the Collaborative Labeling and Appliance Standards Program (BCSE).

  With the Energy IQC entering its second year, the team attracted $49.1 million in new obligations from 27 missions to its procurement mechanisms. One of the most successful aspects of the IQC was the SSO3-designed Support Task Order (STO), which provided missions with short-term, rapid-response assistance. One innovative STO provided a flexible mechanism for responding quickly to potential Y2K computer problems in the energy sector. In addition, the team continued to make inroads in supporting missions in Africa. Staff worked with USAID/Ghana to develop training and technical assistance for the West African Gas Pipeline Project to supply clean natural gas to energy-scarce countries in the region.

- *SpO1 staff provided technical and management leadership for the Agency's Climate Change Initiative (CCI), and strengthened the capacity of developing and transition countries to participate in the UN Framework Convention on Climate Change (UNFCCC).* G/ENV staff

provided Agency leadership on all aspects of USAID's response to climate change, from supporting the UNFCCC negotiating process to designing and implementing climate change activities and programs with missions. G/ENV staff played prominent roles in advancing high-level discussions related to capacity building and technology transfer at the UNFCCC negotiations. In addition, the Center provided the majority of support for the Technology Cooperation Agreement Pilot Program (TCAPP), a USG inter-agency program that facilitates investment in clean energy technologies worldwide, a goal of the UNFCCC. TCAPP, which works in partnership with developing and transitional countries to remove barriers to investment while also directly engaging the private sector, helped to develop seven major investment actions this year.

The SpO1 team also provided in-country technical assistance to six missions. They facilitated reporting under CCI by compiling and synthesizing performance data from the 44 operating units that participate in the initiative. In addition, staff worked with key missions to design climate change strategies for field programs.

Overview of G/ENV Value-Added Results

Indicators measuring the Environment Center's performance show positive upward movement compared to last year in all value-added indicators related to in-country and procurement assistance to missions, advancement in internal USAID environmental policy and institutional capacity, and progress in promoting USG policy positions in international venues (see Table 2). In addition, the Center received positive feedback on its performance from 50 USAID environment officers, discussed later in this section.

Table 2. Overview of FY 1999 G/ENV Value-Added Results

	Field Support				Technical Leadership	
	Indicator 1: Technical Assistance to the Field		Indicator 2: G/ENV Procurement Vehicles Utilized by Missions*		Indicator 3: No. of Agency Policies and Programs	Indicator 4: No. of International Policies and Programs
SSO Team	No. of Missions and Bureaus	Person days	No. of Missions and Bureaus	($million)		
SSO1	30	452	33	36.6	26	27
SSO2	37	938**	15	5.8	34	33
SSO3	20	262	27	49.1	22	9
SpO1	6	49	0	0.0	3	15
Cross-Cutting* **	11	124	11	14.1	7	4
Total	43	1898	49	105.6	94	86

* Includes mission and bureau buy-ins, add-ons, IQC task orders, and OYB transfers obligated to G/ENV mechanisms in FY 1999. ** Excludes SSO2 long-term management assistance through RUDOs to field missions estimated at 950 additional days in FY 1999. *** Includes those task orders to the Environmental Policy IQC that cut across the three SSOs, and services for technical support to individual operating units, such as USDA RSSAs.

Field Support. This year, the Center provided a combined total of 64 operating units with in-country technical assistance (43 operating units) and management support through the Center's procurement vehicles (49 operating units). Analysis of the data shows that the Environment Center served 54 out of the 60 operating units pursing a formal environmental objective, sig-

nifying a coverage rate of 90 percent.[2] One of the most significant trends over the last three years has been the sharp increase in funding channeled through the Center's procurement mechanisms (see performance factors below for a detailed discussion). G/ENV received several large obligations for IQC task orders this year: $4.8 million from USAID/Central Asian Republics for oil and gas sector restructuring and hydropower energy trading; $4.6 million from USAID/Egypt for program and policy support; $3.5 million from USAID/Jordan for water resources management; and $3.3 million from USAID/E&E for electricity and natural gas sector restructuring in Georgia. In addition to providing useful procurement mechanisms to the field, the Center delivered 1,898 days of in-country assistance, 212 days more than last year. SSO2's Washington-based staff provided the largest number of in-country assistance days at 938. SSO1 provided two RSSA staff to USAID/Morocco and USAID/Bolivia for long-term assignments. Under value-added indicator 2, G/ENV staff spent over 30 percent of their in-country assistance in strategy pre-design and design, 18 percent on program implementation, 20 percent on monitoring and evaluation, and 9 percent on G/ENV fulfilling their management and leadership functions.

Agency and International Leadership. The Environment Center contributed to the achievement of 92 policy initiatives and institutional strengthening results in support of the Agency's environmental goals, an increase of 27 from last year. These contributions were diverse and reflect the varied nature of the Agency's work—developing performance indicators for global climate change and environmental policy, constructing a global environment intranet web-site for USAID, providing technical advice on containing El Nino related forest fires throughout all USAID regions, and spearheading the Agency's development of President Clinton's 5-year $100 million interagency Clean Energy for the 21st Century Initiative, which will augment existing USAID energy sector reform and capacity building activities. G/ENV took a particularly active role this year in ensuring that the Agency maintains high caliber and well informed staff for future operations. Working with the regional bureaus, the Center hosted the six-day Environmental Officers' Training Workshop in Virginia that covered a wide range of environmental and management issues for field and Washington, D.C.-based staff. Two-thirds of the 124 participants rated the conference highly for imparting new knowledge and tools that will be useful for the future. In addition to the workshop, the Center was at the forefront of recruiting and training new environmental NEPs.

On the international leadership front, G/ENV contributed to 88 key results related to international conferences and agreements, up from 59 last year, in support of various environmental areas, including forestry, coral reef conservation, global climate change, and urban pollution prevention and housing. G/ENV staff played prominent roles, often leading U.S. delegations, in negotiations under the UN Convention to Combat Desertification and the UN Framework Convention on Climate Change. At the annual meeting of the Consultative Group in International Agricultural Research (CGIAR), G/ENV successfully advocated for global climate change issues to become a permanent part of the CGIAR's planning agenda. The Center also was instrumental

[2] Percentage represents an approximation of G/ENV coverage for field support. The calculation is based on CDIE's list of 60 operating units that pursued environmental objectives in FY98, which is the latest year for which data are available. The Center assumes that on a yearly basis the number of operating units pursuing environmental SOs will not change significantly.

in establishing the Cities Alliance, a multi-donor approach to slum upgrading led by the World Bank and UN. Furthermore, G/ENV maintained a liaison function on the Agency's behalf with major bilateral donors (i.e., JICA) and various bi-national commissions (i.e., South Africa).

Findings from the G/ENV Customer Survey. FY 1999 marked the second year that G/ENV administered a survey throughout the Agency's environmental community to gain additional insight and feedback on its performance.[3] As with last year's survey, respondents scored the Environment Center's services highly, although they also identified several areas for improvement.

The survey asked respondents to score each SSO and SpO team against six variables: quality of technical expertise, timeliness of assistance, responsiveness to mission needs, general field support, Agency leadership, and international leadership. The Center's composite score was 2.15 on a scale of "1" for outstanding and "5" for poor, as opposed to a 2.03 from last year. Scores for the four SSO and SpO teams ranged from a 1.87 to a 2.44, between an outstanding and good.

Respondents ranked G/ENV's greatest strengths as its ability to provide relevant technical assistance to missions, followed by the Center's ability to provide efficient contracting vehicles, and the dissemination of environmental information (see Table 3). These figures correlate positively with the Center's areas of emphasis. According to the survey, the Center's top three weaknesses were a lack of funding for innovative programs (28 percent), poor coordination with mission programs (16 percent), and inadequate influence over Agency policy and guidance (16 percent). Last year, inattention to staffing and career development scored 21 percent, whereas this year the score dropped to 8 percent, possibly in response to the Environmental Training Workshop and assistance in hiring NEPs.

Table 3 – Scoring of G/ENV Strengths

Category	Survey Score
Provide relevant technical assistance	64%
Provide efficient contracting vehicles	46%
Disseminate environmental information	36%
Work in new and changing areas	26%
Support for mission programs	18%
Influence Agency policy and guidance	16%
Strengthen environmental staffing	6%

Performance Factors

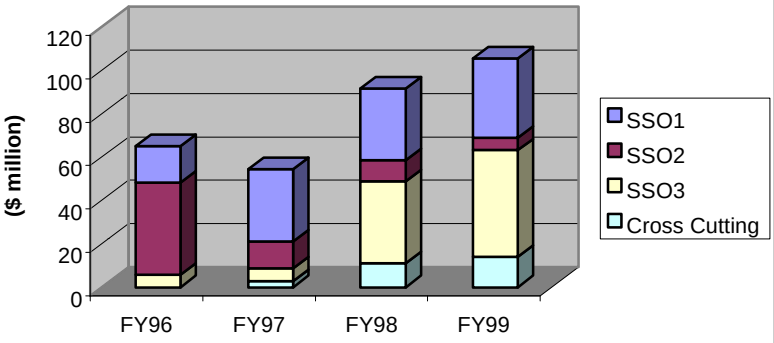
Staff identified six major performance factors that either contributed to, or detracted from, the Center's ability to achieve targets for FY 1999 and beyond.

[3] The Center received 50 completed surveys, 10 more than last year, representing all USAID regions (AFR returned 12; ANE, 10; EE, 6; and LAC, 13; and anonymous 9).

Key Factors Contributing to Successful Performance

Growing use of G/ENV procurement mechanisms. The increased use of G/ENV procurement mechanisms has been a major trend in the portfolio since FY 1997. As illustrated in Figure 1, the Center experienced significant growth with regard to the amount of money obligated through its procurement vehicles over the last four years, from $65.2 million in the baseline year of FY 1996 to $105.6 million in FY 1999. The rapid growth of SSO3 (energy) procurement vehicles—from $5.8 million in FY 1996 to $49.1 million in FY 1999—is especially noteworthy. In addition, SSO3 designed and implemented the Support Task Order (STO) within the Energy IQC. The STO provides missions and bureaus a mechanism to access short-term, rapid-response assistance. High demand for several of the Environment Center's IQCs explains this rapid overall increase.[4] This year, the Center launched three new IQCs: biodiversity conservation and forestry management, integrated coastal and water resources management, and sustainable urbanization. The decreased use of SSO2 vehicles in FY 1998 and FY 1999 is principally due to the close-out of the team's major core contracts, juxtaposed with unexpected delays in procuring the new Sustainable Urban Management IQC and Resource Cities cooperative agreement. G/ENV is confident that SSO2 procurement mechanisms are now well positioned to provide timely and effective access to technical assistance throughout the Agency.

Figure 1. G/ENV Procurement Vehicles Utilized by Missions and Bureaus, (FY 1996 to FY 1999)



In FY 1999, G/ENV continued its tradition of providing innovative procurement vehicles to the field by launching the Agency's first Leader with Associates cooperative agreements, for biodiversity and forestry and for renewable energy. This new type of cooperative agreement is designed to promote partnerships between USAID and the non-profit community by permitting associate awards between operating units and cooperators without further competition. Based on these G/ENV models, similar LWA agreements are in place or being planned throughout the Agency for democracy and governance, food and trade, labor, and HIV/AIDs.

Expanded Partnerships with USG Agencies, the Private Sector, and NGOs. Over the last year, G/ENV brought new resources, environmental expertise, and approaches to the Agency by reaching out to a broader cast of implementing partners. For example, SSO3 (Energy) and SpO1 (GCC) developed new partnerships with the private sector to promote clean energy. SSO1 entered into new cooperative agreements with six leading U.S. conservation NGOs through the

[4] G/ENV currently supports IQCs in biodiversity conservation and forest management, environmental engineering, environmental policy, integrated coastal and water resources management, sustainable energy, energy training, and sustainable urban management.

Global Conservation Program. Many G/ENV teams have expanded their ties with other USG agencies: with NOAA for weather forecasting and marine conservation, with DOE for climate-friendly technology development and cooperation, and with HUD for hurricane reconstruction in Central America, for example. For the SpO1 team (GCC), which was short-staffed throughout the year, this collaborative approach helped leverage its limited resources to achieve significant results with regard to its Agency leadership responsibilities under CCI.

Of particular importance under this performance factor is the growing number of collaborative efforts between G/ENV and the State Department. The two worked together in FY 1998 to manage the $4.8 million East Asia and Pacific Environmental Initiative (EAPEI), a regional program dedicated to fire control and reef protection. This year, they joined together as co-chairs of the International Working Group of the US Coral Reef Task Force, which drafted a series of strategies for addressing threats to international coral reefs. Other areas of close collaboration include climate change and forest fire management. In FY 1999, G/ENV took additional steps to formalize relations with the Assistant Secretary of State for Oceans and International Environmental and Scientific Affairs (OES) by initiating a joint strategic planning process designed to further integrate USAID's and State's environmental agendas and to coordinate future resource requests.

EPIQ Nears Its $100 Million Ceiling

The success of the Environment Center's IQC portfolio is best illustrated by the Environment Policy IQC (EPIQ). Initiated in 1996 as the first of a new generation of IQCs designed to provide both short- and long-term technical assistance to the field, EPIQ has since attracted over $90 million in obligations through 55 task orders from 32 missions and bureaus. EPIQ has worked in 40 countries, across all environmental subsectors, on task orders as short as one month to as long as four years. The contract's success is due to its ability to mobilize a diverse range of specialists rapidly through a streamlined procurement process. In addition, missions and bureaus maintain clear program and contracting authority over their own task orders. With EPIQ assistance, missions have achieved notable policy successes. For example, in the Central Asian Republics, EPIQ experts were instrumental in crafting a major regional energy and water agreement for the Syr Darya Basin, which was signed into effect in 1999 by the four riparian countries. In Slovakia and Romania, EPIQ staff completed a series of environmental and economic analyses in preparation for discussions on European Union accession. EPIQ's combination of programmatic flexibility, procurement efficiency, and decentralized management has been used as a model for the Center's other IQCs. As one indicator of EPIQ's solid performance, the vehicle is close to reaching its $100 million ceiling, and EPIQ II is about to go out for bid.

Growth of Cross-Cutting Programs that Promote Sectoral and Geographic Integration. An increasingly pronounced trend within the Center's entire portfolio is a move toward integrated approaches, in a sectoral and geographic sense, to achieve environmental and development results. This year, the climate change SpO supported a meeting of coral reef experts under the Convention on Biological Diversity who concurred that climate change is a primary cause of coral bleaching that warrants remedial action by the UN Climate Change Convention. Under the Trees for Africa initiative, all three SSOs worked together on an urban forestry program for South African townships. Task orders promoting integrated water resource management are becoming increasingly more commonplace under the Water and EPIQ IQCs. And under the Global Conservation Program, the Center is embarking on the conservation of entire eco-regions and landscapes. Work on transboundary

environmental problems is a growing dimension of the Center's in-country technical assistance. This year, for example, the Center worked on the Nile River Basin Initiative; transboundary conservation between Brazil, Bolivia, and Paraguay; and a study on transboundary natural resource management issues for Southern Africa. Likewise in sustainable energy, G/ENV is promoting a regional approach for the provision of environmentally-friendly energy in Bangladesh, India, and Nepal through the $34 million South Asia Regional Initiative/Energy Program. For certain environmental issues, such as water resources management, the lines between different environmental sub-sectors are getting increasingly blurred as Center teams, and indeed the Agency as a whole, recognize the importance of taking a multi-disciplinary and cross-cutting perspective to promote sustainable development.

Positive working relations with the Office of Procurement. A sense of teamwork between the Office of Procurement (OP) and G/ENV continued to grow this year. The culmination of this collaborative spirit occurred when, based on a G/ENV nomination, the Office of Procurement was honored with a USAID meritorious award for superior service and achievement of "extraordinary" results in providing contractual service to the Environment Center. With the procurement of all pending IQCs in FY 1999 and emphasis on decentralized procurement processes, the backlog of G/ENV actions and general work load for environmental contracts and agreements has decreased significantly.

Negative FY 1999 Performance Factors

Declining budget. In FY 1999, the Center suffered a 14 percent reduction to its core funding and, at the same time, assumed additional responsibilities for managing the Agency's global climate change initiative. Due to funding earmarks, four IR teams absorbed the cuts disproportionately, experiencing declines ranging from 33 percent to 100 percent: biodiversity conservation, forestry, urban environmental credit, and urban pollution. The immediate impact of the cuts was that new and existing programs were only partially funded. While the budget for SSO1 is expected to rebound for FY 2000 (see Table 4), future funding for SSO2 remains uncertain, while questions exist about whether SSO3 will regain its earlier budget levels. SSO2 has experienced funding reductions consecutively over the last four years, losing 44 percent of its core budget since FY 1996. In FY 1999, two additional Regional Urban Development Offices were closed, leaving six offices open at the beginning of FY 2000. Predictably, these cuts now present major obstacles to the Center's ability to deliver results in the urban environmental sector as originally intended when the current strategy was adopted. For example, the Center's FY 1996 strategy sets the target for the number of households benefiting from greater access to shelter and infrastructure at 745,000; this target contrasts sharply with the actual FY 1999 number of 273,905 households. USAID's 30-year reputation as a leader in promoting innovative approaches for urban environmental development is eroding, as is the Agency's ability to influence upcoming urban projects and policies at the MDBs. In the meantime, the world's developing countries are becoming more urbanized, and urban environmental problems are growing in severity. Coverage of urban environmental services is falling behind population growth rates, meaning that more people go without basic sanitary services each day.

Table 4. FY 1997 – FY 2000 G/ENV Core Funding ($m)

SSO	FY 1997	FY 1998	FY 1999	FY 2000 (planned)	Percent Change (FY 1998 to FY 1999)	Percent Change (FY 1997 to FY 2000)
SSO1 – Natural Resources	9.8	10.3	6.9	11.6	-33%	18%
SSO2 – Urban Programs	6.4	5.6	4.0	3.6	- 29%	-44%
SSO3 – Sustainable Energy	18.0	18.0	16.0	16.0	-11%	-11%
SpO1 – Global Climate Change	--	--	2.4	3.3	NA	NA
Total	34.2	33.9	29.3	34.8	-14%	2%

Staff shortfalls. Several teams within the Center confronted difficulties with recruiting technical staff. For example, due to bureaucratic delays at the Department of Agriculture, three of the five RSSA positions allotted to the climate change team remained unfilled more than a year after the special objective was launched. SSO3 overcame its staff shortages from FY 1998, filling all vacant staff positions, although the team functioned for most of the year with an acting director and deputy director. SSO1 also experienced periodic staff shortages when two RSSAs were loaned out to field missions. The Center took several steps in early FY 2000 to respond to these staffing issues, and expects most recruitment issues to be resolved by the next R4.

Prospects for Progress

The Environment Center enters FY 2000 in a strong position to maintain its track record for delivering on-target performance. A number of critical factors related to G/ENV's internal operating environment coalesced in FY 1999 to favor solid performance in the coming year. All major procurement vehicles are now in place after several years of preparation to bring these mechanisms from conception to award. The Center is able to provide missions and other partners with a broader array of procurement services and collaborators, which bring new expertise and resources to the Agency. Equally important for SSO1, SSO3, and SpO1, budgets are expected to remain stable and even increase for some IR teams following a difficult year of declines. For SSO2, however, funding continues to fall short of levels required to achieve the targets originally set three years ago. Continued budget cuts to the urban SSO jeopardize the Center's ability to deliver results in one of the most critical areas confronting developing countries.

The Center also notes that the political environment for many of its programs continues to be favorable. The Administration's new Greening the Globe and Clean Energy for the 21st Century initiatives promise to expand opportunities for tropical forestry, biodiversity conservation, sustainable energy, and global climate change. These new initiatives, combined with the current coral reef and East Asia initiatives, joint planning exercises with the State Department, and the growth of cross-cutting programs, may necessitate that the Center adjust its strategy in FY 2001 to accurately reflect the changing portfolio. These positive internal trends are coupled with an equally supportive external operating environment. Many developing and transitional countries

are adopting the kinds of public policies that favor decentralization and privatization upon which the success of Center's environmental approaches are based.

In short, staff expects three out of the Center's four objectives to perform on target over the long run. The Center holds reservations in regard to SSO2's ability to maintain its leadership and achieve meaningful results over the long term under the current funding trajectory.

STRATEGIC SUPPORT OBJECTIVE 1 (934-001-01): INCREASED AND IMPROVED PROTECTION AND SUSTAINABLE USE OF NATURAL RESOURCES, PRINCIPALLY FORESTS, BIODIVERSITY, FRESHWATER AND COASTAL ECOSYSTEMS, AND AGRICULTURAL LANDS

Operating Unit Self-Assessment

Strategic Support Objective 1 (SSO1) is on-track for meeting its performance targets. SSO1 exceeded the target set for its first programmatic indicator, area under improved management, and is on-track for the second and third indicators, area under effective management and number of policy successes. The current level of activity of the intermediate results (IR) programs indicate that SSO1 will meet or exceed FY 2000 performance targets. SSO1 is exceeding targets for mission and bureau utilization of G/ENV funding mechanisms and is on-track for targets set for technical assistance. Although SSO1 fell short of the targets set for the other two value-added indicators, agency and international policies that demonstrate G/ENV leadership, these exceed the number reported in the previous year. The target set in 1997 was unrealistically high and has been revised.

Summary

SSO1 seeks to increase the protection and sustainable use of natural resources, principally forests, biodiversity, freshwater and coastal ecosystems, and agricultural lands. SSO1 is comprised of four intermediate results: biodiversity conservation, sustainable forest management, environmental education and communication, and coastal and freshwater resources management. In addition, the SSO1 team co-manages a sustainable agriculture and environment program with the Office of Agriculture and Food Security in the Center for Economic Growth and Agricultural Development. SSO1 directly supports USAID's strategic and long-term goal of *the world's environment protected for long-term sustainability*. Through SSO1, sustainable natural resource management has been promoted in 43 countries. Countries with effective resource management plans in place and that involve the local communities in decision making are more likely to develop sustainable economies and fully functioning democracies. Citizens of all countries, including the United States, benefit from the safeguarding of the world's biodiversity and natural resources.

Key Results

An additional 12 million hectares under improved management. The improved management of several large protected areas in Latin America and numerous community-managed sites in Indonesia accounted for the majority of the large increase in FY 1999. The increase includes the coastal zone of an entire province in Indonesia, 19 new community forest districts in Nepal, and a large expanse of the Pantanal wetlands in Bolivia.

Local Communities Gain Resource Management Rights. In FY 1999, as in previous years, SSO1 partner organizations successfully engaged communities in mapping traditional lands and monitoring their resource use. As a result, local communities are able to counter threats to their resource base from large-scale logging, mining, and other unsustainable activities. For example, the Indonesian village of Nangka used information generated by a mapping exercise to expel a logging concession, and in Saham-Bingge, villagers succeeded in preventing the entry of an oil palm plantation into their ancestral lands. Similar successes from 1995 to 1999 have contributed to a total of 334,481 hectares under effective management in Indonesia alone.

Environmental Communications Reach National Audience. FY 1999 saw an unexpected increase in the reach of environmental education media. The SSO1 team had anticipated that environmental media—print, television, and radio—would reach approximately 18 million persons, a 60% increase over the previous year. Instead, the figure is nearly double, at 32.9 million persons. The increase is largely due to the success of regional and national television broadcasts in Egypt.

Increased Demand for Training in Reduced Impact Harvesting. Training and capacity building continued to be a major focus of the forestry program. Reduced impact harvesting demonstrations and training in two key countries, Brazil and Mexico, resulted in an additional 5,700 hectares of forest under improved management in FY 1999.

Successful Integration of Coastal and Land Use Planning. A province-wide coastal resource management plan in Lampung, Indonesia, has improved the management of 1.6 million hectares of coastal and marine habitat. A locally developed management plan that is then adopted at higher levels of government is a concrete example of the decentralization and democratization hoped for in Indonesia. The Lampung coastal strategy also demonstrates the tangible connection between natural resource management and human welfare. Similar successes in coastal resource policy have led to improved management of areas in Tanzania and Mexico.

G/ENV Staff Contribute to International Environmental Policy. The *International Coral Reef Initiative* initiated by USAID, State Department, and the National Oceanic and Atmospheric Administration (NOAA) held a symposium in which participants published a "Renewed Call to Action" on protecting coral reefs. As a result, the U.S. Coral Reefs Task Force was formed by G/ENV and the Department of State. Six major pieces of legislation dealing with coral reef issues (both domestic and international) are now being considered by the U.S. Congress.

In another important result, working with the Ministries of Environment and Agriculture in Mexico, G/ENV and the Forest Service helped fund and organize an international forum on the use of fire in agriculture and forestry. It was the first step in a national debate in Mexico and process to develop an integrated national program on fire policy in agropastoral and forestry systems. As a result, the parties agreed to co-fund activities in fire suppression.

Performance and Prospects

Annual performance is measured by both the Center-wide "value-added" indicators and by programmatic indicators, developed by the IR teams.

Value-Added Indicators

Indicator 1: Field-based assistance (TDYs) provided in response to Mission/Bureau requests. SSO1 is on-track for the number of missions and bureaus served but did not meet the number of TDY days targeted. This is not necessarily an indication of decreased support since the number of TDYs in 1999 is a 13% increase over the number in 1998. Team members also gave technical assistance to missions and bureaus without going on TDY; for example, SSO1 staff reviewed the scopes of work for water management activities in Morocco, Jordan, and southern Africa, and prepared and forwarded reference material on desalinization to the West Bank/Gaza mission. Long-term technical assistance was also provided to missions and bureaus in the form of Global staff on loan through the RSSA mechanism; for example, an SSO1 team member worked in the

Morocco mission for most of FY 1999 and another at the Bolivia mission for nine months. Targets for FY 2000 and beyond have been adjusted based on actuals reported in FY 1998 and FY 1999.

SSO1 Contribution to Center-Wide Value-Added Results

Indicator		Year						
		1997	**1998**	**1999**	**2000**	**2001**	**2002**	**2003**
Indicator 1: Technical Assistance to the Field (a. No. of missions and bureaus; b. Person days)	Planned	Base-line	a. 31 b. 550	a. 31 b. 550	a. 30 b. 452	a. 30 b. 452	a. 30 b. 452	a. 30 b. 452
	Actual	a. 31 b. 550	a. 28 b. 399	a. 30 b. 452				
Indicator 2: G/ENV Procurement Vehicles Utilized by Missions (a. No. of missions; b. value in millions USD)	Planned	Base-line	a. 16 b. 25.3	a. 16 b. 25.3	a. 33 b. 36.6	a. 33 b. 36.6	a. 33 b. 36.6	a. 33 b. 36.6
	Actual	a. 16 b. 25.3	a. 26 b. 33.1	a. 33 b. 36.6				
Indicator 3: No. of Agency Policies and Programs	Planned	Base-line	35	35	26	26	26	26
	Actual	35	14	26				
Indicator 4: No. of International Policies and Programs	Planned	Base-line	46	46	27	27	27	27
	Actual	46	18	27				

Indicator 2: Mission buy-ins, add-ons, OYB transfers, IQC task orders. This indicator is one of the most direct measures of the value added of the Center. SSO1 exceeded its targets for both the number of USAID operating units accessing mechanisms, 33 compared to target of 16, and the total value, $36,644,160 compared to a target of $25,290,000. The Center's cross-cutting contract mechanism for environmental policy, EPIQ, accounted for $7,621,718 of the total SSO1 buy-ins by missions and bureaus. The largest buy-ins were from USAID/Jordan and USAID/Uganda, accessing the Water IQC and BioFor IQC, respectively. FY 1999 saw an increase in the number and value of buy-ins to IQCs relative to other mechanisms; the value of buy-ins to IQCs, $19,257,478 exceeded the value of buy-ins to cooperative agreements. Targets for FY 2000 and beyond have been adjusted based on actuals reported in FY 1998 and FY 1999.

Indicator 3: Number of USAID policies, strategies, and programs reflecting G/ENV leadership. The number of examples of Agency leadership in FY 1999 (24) was below the target of 35 but did exceed by 71% the number reported the previous year. The SSO1 team has reevaluated their selection criteria for this indicator to make it more consistent from year to year. The targets for FY 2000 and beyond has been revised to reflect this. Examples of successful leadership within the Agency in FY 1999 include:

- G/ENV staff worked closely with the Office of Procurement to develop and implement a new Agency funding mechanism, the Leaders with Associates (LWA). This new type of

cooperative agreement promotes partnerships between USAID and the non-profit community by allowing follow-on or Associate awards without competition. This new mechanism has generated tremendous interest within the Agency and among the non-profit community. Based on the G/ENV model, LWAs are in place or planned throughout the Agency for programs in biodiversity conservation, renewable energy, democracy and governance, food and trade, labor and HIV/AIDS.

- SSO1 staff helped develop or modify new strategies and programs for missions and bureaus, for example, transboundary river basins strategy for RCSA; integrated natural resources management for USAID/Kyrgyzstan; components of the USAID program for the Middle East Peace Process; and natural resources management in Botswana.
- SSO1 staff worked closely with the BHR/OFDA and the National Oceanic and Atmospheric Administration (NOAA) to carry out a mission to Vietnam. Participants designed a flood forecasting system for the Red River, which flows through Hanoi.

Indicator 4: Number of international policies, strategies, programs, and project influenced by G/ENV leadership. The number of examples of international leadership in FY 1999 is below the target of 46 but did exceed the previous year's number by 50% . Highlights of international leadership are described in *Key Results*. Targets for FY 2000 and beyond have been adjusted based on actuals reported in FY 1998 and FY 1999. In FY 2000, SSO1 staff are working with the Department of State to develop a vision statement for the World Water Forum in March, to be attended by 27 national delegations. The Forum is tasked with addressing the major challenges to the management of water supplies, such as the sharing of water among nations and the provisioning of basic human needs.

Programmatic Indicators

SSO1 monitors program performance through three indicators: cumulative area of habitat under improved management, cumulative area of habitat under effective management (a higher standard), and improvements in conservation as a result of strengthened policy.

Indicator 1: Area of biologically important habitat under improved management. SSO1 exceeded its target with three programs reporting 97 sites under improved management in FY 1999. These additions resulted in a doubling of the cumulative number of hectares now under improved management. (26,513,411 ha to date). Area is reported by country in the accompanying performance data table. A large part of the increase is from large protected areas in Mexico and Bolivia and many smaller sites in Indonesia, where SSO1's community-based natural resource management activities have been highly successful. Details by program area may be found in the IR Annexes.

Indicator 2: Area of biologically important habitat under effective management. Cumulative area under effective management in FY 1999 is 1,273,233 ha, a 5.6% increase over the target. Effective management is a higher standard than "improved". Two key conditions must be met for areas to be considered under *effective* management: (1) habitat quality is maintained or improved and/or the rate of habitat degradation is reduced; and (2) institutional ability to monitor and respond to threats and opportunities (adaptive management) is demonstrated. Areas are reported by country in the table. Details by program area may be found in the IR Annexes.

Indicator 3: Number of policy successes. G/ENV-funded programs are on track for achieving new policy successes each year. (Policy successes for 1999 are listed in the table.) National and international policy work by the program partners is expected to increase in FY 2000 and beyond. For example, SSO1's new Global Conservation Program focuses on resource management in large landscapes and transboundary cooperation and significant policy outcomes are expected.

Possible Adjustments to Plans

The forestry team is reviewing its portfolio of activities and targets and will revise its performance monitoring plan accordingly. In FY 2000 G/ENV will house the Secretariat for the Tropical Forests Conservation Act and the Enterprise for the Americas Initiative and act as deputy chair. This has the potential of fostering new partnerships and opportunities for G/ENV. Also in FY 2000, SSO1 will phase out activities under the GreenCOM project, and develop a new delivery mechanism. The GreenCOM Technical Advisory Committee met in January 2000 to review performance and have begun strategizing for follow-on activities.

Other Donor Programs

The SSO1 program areas coincide with other major conservation initiatives by U.S. government agencies (e.g., NOAA, Department of State, U.S. Fish and Wildlife Service) other national governments, leading non-governmental agencies, and international donors such as the International Tropical Timber Organization, UN agencies, and the World Bank. See Annexes for details on specific programs.

Major Contractors and Grantees

SSO1 development partners include NGOs based in the United States (e.g., Conservation International, The Nature Conservancy, Tropical Forest Foundation, World Wildlife Fund, and others); host country NGOs; academic and research centers (University of Rhode Island, Academy for Educational Development and others); consulting firms (Associates in Rural Development, Chemonics International, and others); and other U.S. Government agencies (Department of the Interior, NOAA, U.S. Forest Service, Department of State).

SSO1 Performance Data Table - Indicator 1

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands

APPROVED: 2/18/98 | **COUNTRY/ORGANIZATION:** G/ENV/ENR

RESULT NAME: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands

INDICATOR: Area of biologically important habitat (terrestrial and aquatic) under *improved* management

UNIT OF MEASURE: Hectares (ha)

SOURCE: Reports from partners

INDICATOR DESCRIPTION:
Biologically important habitat (terrestrial and aquatic) is considered under *improved* management when any of the following steps in site management occurs: site assessment is completed, site or action plan is developed; institutional or community capacity is strengthened; a legal framework is in place; site management activities are initiated; or monitoring and evaluation is initiated. **Results are cumulative**.

COMMENTS:
*Target for FY 1999 had been erroneously stated in the previous R4 as 139,463,507 ha, due to an arithmetic error in the estimated size (125,000,000) of Lampung Province, Indonesia. The figure should have been 1,250,000 ha and, in fact, the actual project area is now accurately reported as 1,600,000 ha. The targets and the actual for FY 1999 have been corrected accordingly.
The expected increase in 2001 is expected from large sites in the Global Conservation Program becoming active and from a coastal resource management project in the Gulf of California.
Hectares added in FY 1999:

Indonesia	2,482,061
Nepal	1,402
Mexico	2,026,774
Bolivia	6,300,000
C. America	451,000
Mongolia	838,000
Brazil	8,100
Tanzania	142,400
Russia	24,200
Philippines	33,533
	12,307,*470*

YEAR	PLANNED	ACTUAL
1996	Baseline	11,225,200
1997	11,732,777	12,141,977
1998	12,810,762	14,206,041
1999	16,063,507	26,513,511
2000	30,697,055	
2001	63,203,430	
2002	67,194,930	
2003	67,194,930	

SSO1 Performance Data Table - Indicator 2

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands			
APPROVED: 2/18/98	**COUNTRY/ORGANIZATION:** G/ENV/ENR		
RESULT NAME: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands			
INDICATOR: Area of biologically important habitat (terrestrial and aquatic) under *effective* management			
UNIT OF MEASURE: Hectares (ha)	**YEAR**	**PLANNED**	**ACTUAL**
SOURCE: Field visits and evaluations	1996	Baseline	463,010
INDICATOR DESCRIPTION: Two key conditions must be met for areas to be considered under *effective* management: (1) habitat quality is maintained or improved and/or the rate of habitat degradation is reduced; and (2) institutional ability to monitor and respond to threats and opportunities (adaptive management) is demonstrated. **Results are cumulative.** **COMMENTS**. Additional area in FY 1999: Indonesia 97,167 (from 32 sites) Mexico 27,803 (from 2 sites) ***124,970*** Large increase in 2002 is expected from the maturation of several large Global Conservation Program sites.	1997	630,000	872,070
	1998	997,829	1,148,263
	1999	1,205,363	1,273,233
	2000	1,355,883	
	2001	1,456,883	
	2002	3,434,149	
	2003	3,559,149	

SSO1 Performance Data Table - Indicator 3

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands			
APPROVED: 2/18/98	**COUNTRY/ORGANIZATION:** G/ENV/ENR		
RESULT NAME: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands			
INDICATOR: Documented improvements in biodiversity conservation as a result of strengthened policies or *improved* policy implementation			
UNIT OF MEASURE: Number of policy successes	**YEAR**	**PLANNED**	**ACTUAL**
SOURCE: Reports from partners	1996	Baseline*	18
INDICATOR DESCRIPTION: Policies include laws, regulations, decrees, and agreements which support the conservation and management of biodiversity. Policies can be designed and implemented at local, regional, national, and international levels. Internal policies of conservation NGOs would not be included in this total. Policy successes are documented examples where G/ENV-supported efforts to improve policies or policy implementation have directly contributed to on-the-ground biodiversity conservation. Results are number of new policy successes for that year, i.e., the reported figure is **not cumulative**. **COMMENTS:** New policy successes in FY 1999: Brazil, logging prohibited in two natl. parks in Bahia Indonesia, Blongko Marine Sanctuary mgmt plan Indonesia, village level early action funding procedures Indonesia, coal fire suppression mandated Indonesia, exclusion of commercial ops in 3 subdistricts Indonesia, community land use planning, Donggala Indonesia, community land use planning, Cangkang Indonesia, community land use planning, Dirung Indonesia, rattan gardens management, Pasir Indonesia, first govt process for registering adat land Indonesia, Forestry Law includes adat and conflict resolution Indonesia, independent monitoring by Aceh community Indonesia, govt recognition of adat territories in Natl Park Mexico, first state ecology agency, Chiapas woodlands Mexico, Xcalak community strategy Mexico, Xcalak tourism strategy Mexico, Xcalak fisheries agreement Mexico, low-impact tourism guidelines Panama, enviro. commissions formed for Canal towns Panama, Canal municipal commissions form mgmt plans Tanzania, capacity building strategy Tanzania, mariculture action strategy ***22***	1997	16	10
	1998	12	15
	1999	24	22
	2000	15	
	2001	18	
	2002	18	
	2003	19	

STRATEGIC SUPPORT OBJECTIVE 2 (934-002-01): IMPROVED MANAGEMENT OF URBANIZATION IN TARGETED AREAS

Self-Assessment

Strategic Support Objective 2 (SSO2) exceeded its two SSO-level performance targets and was on-track or exceeded three of its four value-added indicators. SSO2 also met or exceeded 15 of its 17 IR-level indicators. While SSO2's success as measured by its targets reflects the positive performance of the SSO2 team and their six RUDOs, it is also a result of the fact that all four value-added and one of two programmatic targets have been lowered over past years to correspond to drastically reduced resource levels available to SSO2. Levels of grant resources have dropped 50 percent in the past five years and credit subsidy resources have dropped 93 percent in the past six. As a result, all four value-added targets were lowered last year by 28 percent. In addition, while SSO2 far exceeded its target in FY 1999 by assisting 273,905 households, this level of impact falls well short of the 745,000 households that in the R4 document of just two years ago was envisioned as a reasonable target. This consistent reduction in overall targets is commensurate with the gradually reduced impact that the SSO2 team has been able to produce in the field. Thus, despite the team's continued efforts to innovate and share funding with partners, USAID's ability to be a major contributor to urban environmental programs has been compromised—this at a time when the need to provide shelter and services to a rapidly expanding global urban population has never been greater.

Summary

The purpose of this SSO is to improve the living conditions of the urban poor by expanding the equitable delivery of urban environmental services and shelter (IR 2.1), making municipal governments more effective in their delivery of urban environmental services (IR 2.2), and reducing urban pollution (IR 2.3). USAID's urban activities under SSO2 contribute to the Agency's Strategic Goal 5: *The world's environment protected for long-term sustainability*. The SSO2 team provides technical assistance, training, and exchange of information, often in conjunction with credit facilities, that enable host countries to think cross-sectorally about urban issues and, in turn, to improve their ability to successfully manage urbanization processes. The direct beneficiaries of activities implemented under SSO2 are residents of low-income urban neighborhoods, especially children, whose chance of survival are enhanced through access to clean water and sanitation and reduced pollution, and residents of targeted municipalities, who benefit from improved transparency and accountability of their local governments.

Key Results

G/ENV and the six RUDOs worked with 150 municipalities and national associations of municipalities during FY 1999. The RUDOs, based in India, Indonesia, South Africa, Morocco, Guatemala, and Poland, afford SSO2 a high presence in the field and are vital to ensure that the Agency's urban agenda is reflected in missions' cross-cutting programs. In FY 1999 the team successfully consolidated four RUDOs into two—the Harare office into Pretoria and the Quito office into Guatemala. SSO2 has also set the stage to open another RUDO in Bulgaria to replace the Warsaw RUDO, which will close in FY 2000. These changes ensure that the SSO2 team and the RUDOs will continue to achieve significant results in the field and successfully responded to

shifts in ever-changing economic and political climates worldwide.[5] Key results in FY 1999 are described below.

Enhancing Local Service Delivery. SSO2's efforts to expand the equitable delivery of urban environmental services for the urban poor focused in FY 1999 on expanding domestic, private financial resources for investment in shelter and infrastructure. Specific impacts include:

- 1,700 labor-intensive infrastructure projects in Indonesia were developed and subsequently accepted into the plans and budgets of local governments. In partnership with follow-on funds from the World Bank, 50,000,000 person days of work are expected to be generated in East and West Java;
- 30 partner cities in Poland assisted in adopting capital improvement planning processes and improving cost recovery of rental housing;
- 15,000 residents of the Al Attaouia region in Morocco are expected to benefit from improved wastewater treatment as a result of stronger local governments and an improved public-private partnership;
- 43 housing groups in Johannesburg, South Africa assisted in developing rental housing and homeownership opportunities; and
- 30 municipalities in India assisted in becoming credit rated, and two assisted in issuing municipal bonds to invest in improved infrastructure.

Providing Credit to the Poor. For more than 35 years, G/ENV has operated on the belief that credit is one of the most effective tools available to build a sustainable approach to urban development challenges at both the city and national levels. The SSO2 team is a leader in USAID's urban lending effort, having acted as a key player in the Agency's shift in credit resources from Urban Environmental (UE) credit program to the Development Credit Authority (DCA). Specific results of the impact of the use of credit include the following:

- 22,000 previously-neglected households in South Africa will be provided with access to basic services;
- 20 commercial banks have been engaged to generate 100,000 homeownership loans over the course of an eight-year program (now completed) in Poland; and
- The close of the PROMUNI program in Central America marked the end of a regional capital market program for municipal governments which helped 867,490 families benefit from improved infrastructure.

Exercising Leadership on Urban Environmental Issues—SSO2 achieved successes on a number of initiatives and activities with Agency-level impacts, including forging new partnerships between U.S. and overseas cities, developing an urban component to USAID's Global Climate Change Initiative, and leading hurricane reconstruction efforts in Latin America (an SSO2 team member chaired the U.S. Inter-Agency Taskforce on Housing, responsible for coordinating USG reconstruction activities). One specific example of SSO2's leadership is the alliance built between the Cities for Climate Change program (a cooperative agreement with the International Council for Local Environmental Initiatives), which works directly with municipalities, with the EPA's Climate Wise program, which works primarily with industries. As a result of this

[5] NOTE: SSO2 reporting captures IR-level impacts as a result of projects directly managed by RUDOs, whether they are funded solely by SSO2 grant resources or include mission funds.

alliance, cities such as Cebu and Cagayan de Oro in the Philippines and Queretero and San Luis Potosi in Mexico, have initiated partnerships with private sector collaborators through the signing of Memorandums of Understanding to inventory and reduce greenhouse gas emissions.

Performance and Prospects

SSO2 measures its performance at the SSO level using two principal programmatic indicators and four value-added indicators.

Value-Added Indicators

Indicator 1: *G/ENV field-based assistance (TDYs) provided in response to Mission/Bureau requests*. SSO2 provided 938 days of overseas TDY assistance to 37 missions/bureaus, staying on track with the targets of 918 and 30. However, when the full-range of SSO2 support is considered, including days of assistance (i.e., SO management) provided by RUDOs to their home missions, more than 1900 person days of field support were provided during FY 1999.[6] In response to Hurricanes Georges and Mitch, the team assisted the LAC Bureau and USAID missions in the Dominican Republic, Honduras, and Nicaragua in preparing a needs assessment and formulated recommendations for their respective housing reconstruction programs and strategic frameworks. In addition, SSO2 staff also worked in the field to develop five of the Agency's first eight DCA projects (one in the Philippines, Guatemala, and Poland, and two in South Africa).

SSO2 Contribution to Center-Wide Value-Added Results

Indicator		Year						
		1997	**1998**	**1999**	**2000**	**2001**	**2002**	**2003**
Indicator 1: Technical Assistance to the Field (a. No. of missions and bureaus; b. Person days)	Planned	Base-line	a. 39 b. 1,294	a. 30 b. 918	a. 30 b.1850[6]	a. 30 b. 1850	a. 30 b. 1850	a. 30 b. 1850
	Actual	a. 40 b. 1,604	a. 39 b. 1,677	a. 37 b. 938				
Indicator 2: G/ENV Procurement Vehicles Utilized by Missions (a. No. of missions; b. Value in US$ millions)	Planned	Base-line	a. 16 b.12.35	a. 11 b. 8.89	a. 11 b. 8.89	a. 11 b. 8.89	a. 11 b. 8.89	a. 11 b. 8.89
	Actual	a. 16 b.12.35	a. 14 b. 9.68	a. 15 b. 5.80				
Indicator 3: No. of Agency Policies and Programs	Planned	Base-line	30	20	20	20	20	20
	Actual	31	39	34				
Indicator 4: No. of International Policies and Programs	Planned	Base-line	39	28	28	28	28	28
	Actual	37	32	33				

[6] NOTE: Value-Added Indicator One currently does not include the number of days which RUDO staff, as field-based SSO2 Team members, spend providing direct assistance to their home missions on mission SO management. Beginning in FY 2000, VA1 will include field support provided by Washington UP staff, as well as home mission and regional support provided by field-based UP staff.

Indicator 2: *Mission buy-ins, add-ons, OYB transfers, IQC task orders.* SSO2 fell short of its target of $8,889,000. The 1999 close-out of the SSO's primary mechanism for buy-ins—the MDM Core and Requirements contracts—and the delays experienced in operationalizing new mechanisms—the Sustainable Urban Management (SUM) IQC and the Resource Cities Cooperative Agreement—led to a procurement of only $5,795,000 of services in 15 countries. Nevertheless, the new five-year, $110 million SUM IQC awarded 15 task orders worth nearly $3.7 million in six months' time, and brought in six technical service providers in the urban environmental management field, ensuring that all USAID operating units will have timely and effective access to technical assistance and delivery of services to the sector.

Indicator 3: *Number of USAID policies, strategies, and programs reflecting G/ENV leadership*. The SSO2 team led 34 USAID initiatives, which exceeded its target of 20. The team continued to lead USAID's "Making Cities Work" strategy, which seeks to integrate an urban perspective into the Agency's broader development activities. The team developed a number of materials, to be disseminated in FY 2000, and started designing a website, which has since been completed, to expand Agency and counterpart awareness of urban issues. In addition, SSO2 added six new partnerships through the Resource Cities program, bringing the total to 37 linkages between U.S. and overseas cities worldwide to carry out cross-sectoral activities in urban areas. SSO2 also developed a draft Urban/GCC strategy to complement the Agency's Climate Change Initiative and provided guidance in launching the "Cities for Climate Protection" program.

Indicator 4: *Number of international policies, strategies, programs, and projects influenced by G/ENV leadership*. The team influenced 33 international non-USAID initiatives, exceeding its target of 28. Many of these accomplishments included close collaboration with the World Bank, including acting as the lead office for USAID in "Cities Alliance," a donor consultative group coordinated by the World Bank and UNCHS (Habitat) that emphasizes the creation of "city development strategies" and slum upgrading. The RUDOs also provided technical assistance that leveraged other donor funding. For instance, the RUDO in Harare helped in the development and design of a $100 million World Bank local government development program in Zimbabwe.

Programmatic Indicators

Indicator 1: *Total number of households benefiting from improved environmental infrastructure and shelter solutions*. The SSO2 team helped 273,905 households benefit from improved urban environmental infrastructure and shelter solutions, such as water supply, sanitation and sewerage, drainage and flood prevention and solid waste management. SSO2 far exceeded its target of 50,500 households, largely because the Asian financial crisis did not have as adverse an impact on the Indonesia program as anticipated. Indonesia accounted for 199,300 of the 273,905 households benefiting from improved infrastructure and shelter. Beneficiaries in that country received improved services in the areas of water supply, sanitation and sewerage, drainage and flood prevention and solid waste management. Other countries assisted were the Czech Republic (30,000), South Africa (26,500), Zimbabwe (13,941), Morocco (3,972), and Sri Lanka (192).

Indicator 2: *Progress toward implementation of improved urban environmental management systems*. The other SSO2 programmatic indicator uses an index to measure the progress made by municipalities towards use of an Environmental Management Systems (EMS) model to reduce

greenhouse gas emissions and improve environmental management. The EMS approach involves working with municipalities and industries to identify the most important pollution sources and address these in a planned and prioritized manner (see annex for more details). The number of points planned for FY 1999 was four; the actual number of points achieved was six. This result translates into cities in three countries (five cities in Mexico, five in the Philippines, one in Morocco) that have completed phase one of program development (i.e., developed a methodology and provided training in the implementation of an EMS or climate change activity to reduce urban pollution). Additional points will be gained over time through the implementation of phase two (i.e., adopt policies, establish targets, and institute self-monitoring mechanisms).

Possible Adjustments to Plans

The dramatic decrease in resources over time for SSO2 has forced the team to scale back and close activities that not only demonstrated important results in the lives of the urban poor, but also significantly advanced the Agency's urban agenda. The team is requesting assistance from the Center, Bureau, and Agency to ensure that an adequate level of funding is restored and to demonstrate the Agency's commitment to sustainable management of urbanization.

Furthermore, during FY 2000, SSO2's administrative expenses will undergo a transition from being covered by Administrative Expense resources (associated with HG/UE management expenses) to Agency Operational Expense resources. The outcome of this transition, and the impacts it will have on the number of staff and travel resources, is unclear. As such, value-added targets will be straightlined from FY 1999 and reassessed in FY 2000 to reflect the outcome of this transition. In addition, with the near disappearance of the credit subsidy resource, SSO2 will no longer be able to measure its impact in terms of the number of beneficiary households gaining access to improved shelter and environmental infrastructure. The SSO2 team is exploring ways in which the "managing for results" approach can be used to develop new indicators which capture grant-resource activity impacts at end user level in a quantifiable and verifiable way.

Other Donor Programs

SSO2 collaborates with a number of bilateral and multilateral donors to both integrate on-the-ground activities and direct central policies and projects related to urban management. These donors include the World Bank, Asian Development Bank, Inter-American Development Bank, and United Nations Center for Human Settlements. The program also works closely with U.S. cities and municipal associations, host country local governments, and overseas local and regional organizations, such as the South Africa Local Government Association and the City Managers' Association of Gujarat in India.

Major Contractors and Grantees

Abt Associates, Community Consulting International, PADCO, Inc., Research Triangle Institute, and the Urban Institute (Sustainable Urban Management IQC); International City/County Management Association (SUM IQC and Resource Cities Cooperative Agreement); PLAN International (Private/Public Partnership for Quality Habitat Programming Cooperative Agreement); Environmental Export Council (Environmental Export Council Cooperative Agreement); and ICLEI Cooperative Agreement.

SSO2 Performance Data Table – Indicator 1

OBJECTIVE: Improved Management of Urbanization in Targeted Areas

APPROVED: 9/5/1997 | **COUNTRY/ORGANIZATION:** G/ENV/UP

RESULT NAME: Improved Management of Urbanization in Targeted Areas

INDICATOR: Total number of households benefiting from improved urban environmental infrastructure and shelter solutions

UNIT OF MEASURE: Target households

SOURCE: Reports from RUDOs, Annual Urban Environmental Credit Program Performance Monitoring Data

INDICATOR/DESCRIPTION:
Urban environmental infrastructure and shelter refers to any activities providing mortgages; small home loans; construction loans; and servicing of sites with water, sewage treatment, and/or solid waste disposal.

Targets and actuals are highly dependent on eventual credit-subsidy levels and decisions and ability of countries to borrow (or request disbursements) in a given years. Hence, numbers chosen reflect expected disbursements of authorized loans only. Targets for FYs 1999-2001 begin to show the impact of the decline in UE authorization levels starting in FY96. To provide a comparison, credit subsidy levels were $15.1 million in FY94, $19.0 million in FY95, $3.8 million in FY96, $3.5 million in FY97, $3.1 million in FY98, and $1.5 million in FY99.

COMMENTS:
[1] 1994 represents cumulative data for the impact of the Urban Environmental Credit Program (formerly the Housing Guaranty). Subsequent data show the annual increase in the number of households benefiting from improved environmental infrastructure and shelter solutions. There is usually a lag of one to five years between authorizations (appropriated funds) and loan disbursements or results.
[2] In 1996, G/ENV/UP began collecting data on number of beneficiaries on a desegregated annualized basis. Annual targets were not set until FY97. Previously, life-of-project totals (which could span five or more years) were reported. 1995 actual is deduced data.
[3] Targets for FYs 1999-2001 were revised to reflect anticipated disbursements. Target numbers of beneficiaries are based on credit subsidy assumptions of $1.5 million in FY99, $3 million in FY00, and $3 million in FY01.
[4] SSO2 far exceeded its target, largely because a loan to Indonesia, which was previously held up because of the financial crisis, was disbursed. The breakdown, by country, was as follows:

Indonesia	199,300
Czech Republic	30,000
South Africa	26,500
Zimbabwe	13,941
Morocco	3,972
Sri Lanka	192

YEAR	PLANNED	ACTUAL
1994	Baseline	4,784,976[1]
1995	N/A[2]	484,559
1996	N/A	514,210
1997	567,000	528,570
1998	579,000	506,085
1999	50,500[3]	273,905[4]
2000	1,500	
2001	1,500	
2002	TBD	
2003	TBD	

SSO2 Performance Data Table – Indicator 2

OBJECTIVE: Improved Management of Urbanization in Targeted Areas			
APPROVED: 9/5/1997	**COUNTRY/ORGANIZATION:** G/ENV/UP		
RESULT NAME: SSO2: Improved management of urbanization in targeted areas			
INDICATOR: Progress toward implementation of improved urban environmental management systems.			
UNIT OF MEASURE: Local governments that are implementing improved Environmental Management Systems (GCC and EMS approaches)	**YEAR**	**PLANNED**	**ACTUAL**
SOURCE: RUDO and partner reports.	1997	N/A	
INDICATOR/DESCRIPTION: * When this SSO indicator was first added in FY99, the unit of measure was an index composed of points awarded for completion of steps toward implementation of Environmental Management Systems via municipal-based programs. Points are cumulative annually and across pilot cities. Index is not necessarily sequential. Index applies to both GCC and EMS models. ***Phase 1: EMS and GCC Program Development*** a. Developed general methodology and materials (1 point per country) b. Identified and trained partners in pilot cities (1 point per country) ***Phase 2: EMS and GCC Program Implementation*** a. Identified and adopted policies at municipal level (2 points) b. Developed local implementation plan with targets and measures (4 points) c. Instituted impact monitoring and feedback mechanisms (2 points) **This index was intended as a transitional indicator for FYs 1999-2000. As the IR moved to integrate industrial-based pollution prevention programs with municipal-based programs, SSO2 decided in FY1999 that a more accurate measurement of program success is the "number of local governments that are implementing improved Environmental Management Systems." This indicator will come into effect in FY 2000. **COMMENTS:** * The original target of 4 assumed the achievement of Phase 1 only in Mexico and the Philippines. The actual of 6 in FY 1999 equals 2 points each for EMS/GCC Phase 1 completion in the Philippines, Mexico, and Morocco. **11 cities = 5 cities in Mexico, 5 cities in Philippines, 1 city in Morocco	1998	N/A	
	1999	4*	6*
		Baseline**	11**
	2000	10	
		TBD	
	2001	TBD	
	2002	TBD	
	2003	TBD	

STRATEGIC SUPPORT OBJECTIVE 3 (934-001-01): INCREASED, ENVIRONMENTALLY SUSTAINABLE ENERGY PRODUCTION AND USE

Self-Assessment

Strategic Support Objective 3 (SSO3) exceeded performance targets in FY 1999. Working toward the objective of "increased, environmentally sustainable energy production and use" the SSO3 team exceeded all high level targets. In addition, SSO3 in FY 1999 exceeded five center-wide, value-added targets and fell short of the sixth.

Summary

SSO3 energy programs assist developing countries to establish the policy frameworks and institutional capacity necessary for the operation of financially viable, competitive energy markets that will increase access to energy services, promote economic growth, and mitigate the environmental impact of energy use. Through the reform of regulatory, legislative, and private sector policies and institutions SSO3 promotes private sector participation in energy sector development. Ultimately, SSO3 activities allow for increased access to electricity in developing countries. SSO3 assistance has been crucial in more than 27 countries in the reform of the electric sector, leading to improvements in energy efficiency and availability, stimulating investments in renewable energy projects, and improving economic performance in the energy sector. The office is also actively involved in climate change issues (see Annex C for specific programs and results). SSO3 activities contribute to one of the Agency's Strategic Goals: *The world's environment protected for long-term sustainability.*

SSO3 activities benefit all segments of society by increasing access to electricity for the rural poor; improving human health through decreased pollution in urban areas; and increasing economic opportunities for urban and rural populations through job creation and improved industrial infrastructure. Through SSO3 activities, a global environmental benefit is accrued from a decrease in the rate of growth in greenhouse gas emissions. In addition, SSO3 training activities build the capacity of local partners to implement energy sector reform activities.

In FY 1999, SSO3 bolstered its ability to accomplish program goals by spearheading the Agency's development of President Clinton's 5-year $100 million interagency Clean Energy for the 21st Century Initiative. Pending approval from Congress, USAID will receive $30 million from the initiative to augment existing USAID energy sector reform and capacity building activities.

In FY 1999, SSO3 reshaped program activities by collaborating more closely with inter-agency and intra-agency partners including the Department of Energy, Department of Commerce, USAID missions, and private sector partners. In this regard, SSO3 played an important role in developing and implementing seven multi-partnered activities in FY 1999: The South Asia Regional Energy Initiative (SARI/E), the Collaborative Labeling and Appliance Standards Program (CLASP), Business Council for Sustainable Energy Program (BCSE), Hurricane Mitch Energy Sector Reconstruction Program, Sub-Saharan Energy Sector Reform Program, Mexico Energy Sector Reform Program, and the Indian Electric Vehicle Program. SSO3 anticipates significant results from these programs beginning in FY 2000.

Key Results

Providing Rapid Technical Assistance to Missions and Bureaus. The Energy and Environment Indefinite Quantity Contract (EEIQC) is a key mechanism managed by SSO3 that offers USAID missions and bureaus services from more than 45 U.S.-based energy and environment private enterprises, nongovernmental organizations, and research institutes. In FY 1999, 20 missions and bureaus channeled $42.37 million to this mechanism. One of the most successful aspects of the EEIQC in FY 1999 was the Support Task Order (STO) designed by SSO3 to rapidly respond to a variety of sudden, short-term bureau and field support needs. In FY 1999, 7 missions and bureaus made use of the STO. Although it ultimately went unused, SSO3 put in place a flexible IQC mechanism for rapidly responding to energy sector Y2K computer problems with world class technical assistance.

Assisting Missions to Enhance Environmental and Economic Development in West Africa. By developing a funding proposal for USAID/Ghana, SSO3 assisted the mission to obtain a $1.5 million grant from the Africa Trade and Investment Program. The grant will assist the Economic Community of West African States develop training and technical assistance for the West African Gas Pipeline Project. The assistance will focus on improving the capacity of energy officials in Nigeria, Togo, Benin, and Ghana to negotiate a commercially developed and managed project with private sector pipeline partners. The project has long-term economic and environmental benefits including: greater availability of gas to alleviate the current regional energy crisis, more reliable access to electricity, and reduced greenhouse gas emissions from the flaring of natural gas in Nigerian oil fields.

Developing Energy Loans in Coordination with the World Bank and Winrock International. In FY 1999, the renewable energy team supported consulting staff at the World Bank (WB), securing more than $194 million in public and private funds for sustainable energy activities in Brazil, Guatemala, India, and the Philippines. SSO3 contributed to the development of these loans by sponsoring two renewable energy specialists at the WB; supporting the travel of a WB renewable energy finance experts to the Philippines; and coordinating closely with the WB, through a cooperator, to promote and support energy sector loans in four countries (see Annex D-*IR 3.2 Performance Data Tables* for more detail).

Establishing Public and Private Sector Energy Partnerships. The SSO3 team in FY 1999 established partnerships to facilitate the flow of technical and financial resources between U.S. utilities and regulatory agencies and developing country counterparts. To this end, SSO3 supported the U.S. Energy Association's Energy Partnership Program that in FY 1999 developed seven new partnerships in Brazil, Central America, the Dominican Republic, Ghana, Guatemala, India, and Indonesia.

Providing Energy Training to Developing Country Practitioners. In FY 1999, 25 missions and bureaus used the Energy and Environment Training Program (EETP), building the capacity of local partners to implement energy sector reform activities. EEPT is a cost effective and rapid-response mechanism designed to address developing country energy training needs. In FY 1999 the EETP trained 655 people (515 men and 140 women) through 20 events. In Ghana for example, EETP presented courses entitled "Economic and Financial Evaluation of Energy

Efficiency Projects" and "Energy Efficiency Entrepreneurship" strengthening the capacity of over 150 Ghanaian energy officials and technicians.

Performance and Prospects

This section reports annual value-added and programmatic performance, reviews program prospects for FY 2000, and details management issues affecting FY 1999 results.

Value-Added Indicators

Indicator 1: *Field-based assistance provided in response to mission/bureau request*s. SSO3 demonstrated positive results in providing field-based assistance during FY 1999, responding to requests from 20 missions through 262 person days of field support. Results for this indicator suggests that SSO3 was able to assist more missions with fewer person days. The *FY 1999 Customer Service Survey* suggests missions and bureaus were satisfied by the level of field based assistance provided by SSO3. Where "1" is the highest score (outstanding performance) and "5" (poor performance) is the lowest score, the energy team received the highest average mark of 1.87: the best rating within G/ENV. Through field-based assistance in FY 1999, the energy team provided technical and management assistance to development partners and missions, which often lacked energy staff.

SSO3 Contributions to Center-Wide Value-Added Results

Indicator		Year						
		1997	**1998**	**1999**	**2000**	**2001**	**2002**	**2003**
Indicator 1: Technical Assistance to the Field (a. No. of missions and bureaus; b. Person days)	Planned	Base-line	a. 20 b. 440	a. 20 b. 440	a. 20 b. 270*	a. 20 b. 270*	a. 20 b. 270*	a. 20 b. 270*
	Actual	a. 21 b. 464	a. 12 b. 157	a. 20 b. 262				
Indicator 2: G/ENV Procurement Vehicles Utilized by Missions (a. No. of missions; b. value in USD millions)	Planned	Base-line	a. 9 b.$5.01	a. 9 b. $30	a. 30* b. $80*	a. 30* b. $80*	a. 30* b. $80*	a. 30* b. $80*
	Actual	a. 6 b. $6.03	a. 17 b. $37.7	a. 27 b. $49.1				
Indicator 3: No. of Agency Policies and Programs	Planned	Base-line	6	6	20*	20*	20*	20*
	Actual	9	12	22				
Indicator 4: No. of International Policies and Programs	Planned	Base-line	4	4	4	4	5	5
	Actual	6	9	9				

** Preliminary revised targets pending review of the performance-monitoring plan.*

Indicator 2: *Mission buy-ins, add-ons, OYB transfers, and IQC task orders*. In FY 1999, SSO3 provided access to contractual vehicles for 27 missions and bureaus, attracting $49.1 million in new buy-ins and work orders. By providing cost-effective access to world class technical support in energy sector policy development, regulatory reform, renewable energy production, energy efficiency implementation, infrastructure improvement, and technology transfer, SSO3 continued to effectively serve missions and bureaus.

Indicator 3: *Number of USAID policies, strategies, and programs reflecting G/ENV leadership.* SSO3 continued to lead the Agency in the development and support of 22 intra-agency policies, programs, or strategies. The highlight of SSO3 Agency leadership was in providing technical assistance to USAID/Ghana in the development of West Africa Energy Strategy. This new strategy addresses the drought-related energy crisis in Ghana through energy efficient practices and technologies. In response to Hurricane Mitch, SSO3 developed the Central American Energy Road Map outlining areas in which energy sector reforms and technologies can enhance the ability of Central American energy sectors to survive another catastrophic weather event. To this end, SSO3's Energy and Environment Training Program (EETP) prepared a "checklist document" to identify current energy sector impact mitigation capabilities, to develop options for energy sector short-term crisis management, to develop options for long-term sustainable energy development, and to assess current energy sector infrastructure capabilities.

Indicator 4: *Number of international policies, strategies, programs, and projects influenced by G/ENV leadership*. SSO3 was instrumental in influencing 9 international policies supporting the proliferation of sustainable energy activities in developing countries. SSO3 spearheaded the $34 million South Asia Regional Initiative/Energy Program (SARI/E). This new 4-year regional initiative will encourage regional economic integration by promoting cooperation and trade in clean energy, natural gas, and renewable energy sources, among South Asian countries.

Programmatic Indicators

Indicator 1: *Greenhouse gas (GHG) emissions avoided.* In FY 1999, SSO3 reduced carbon dioxide emissions by 332,880 carbon tons of emissions (CTE) in FY 1999 for a total of 967,000 CTE reduced cumulatively. This indicator aggregates those GHG emissions avoided from FY 1999 with emissions from the previous years. The largest contributor to GHG reductions in FY 1999 came from the renewable energy team. In FY 1999, over 99 megawatts of emission free, grid connected energy came on-line as a results of the SSO3 renewable energy activities in Brazil, India, Indonesia, and Sri Lanka directly reducing CO2 emissions by over 330,000 CTE**.**

Indicator 2: *Value of private and public investment leveraged by G/ENV*. SSO3 leveraged $208.4 million for environmentally sound energy projects in Brazil, Ghana, Guatemala, India, the Philippines, and Southern Africa. Private sector funding of energy projects, leveraged by SSO3, enables developing country governments to reallocate energy spending to other federal programs such as health and education. The largest contributor to this indicator was the $70 million World Bank rural electrification loan to the Philippines. SSO3 contributed to the development of the loan by collaborating with the World Bank (through the Global Environment Facility and the Asia Alternative Energy Program) and Winrock International.

Indicator 3: *Number of public policies adopted and implemented to promote environmentally sound energy production and use.* In FY 1999, SSO3 influenced the implementation of 13 national policies in Brazil, Mexico, the Philippines and the Near East. For example, the Government of Mexico, as a result of USAID recommendations to the Secretary of Energy, the Government of Mexico made modifications to the federal public procurement law (Ley de Adquisiciones de Obras Publicas). The modifications will allow the largest electric utility in Mexico to enter into joint ventures and joint stock associations. These developments will assist CFE in attracting domestic and foreign capital for energy sector infrastructure development.

Management Issues and Prospects
Staffing vacancies and contract terminations affected program performance in FY 1999. For most of FY 1999, SSO3 functioned with an acting director and deputy director. A permanent director will be in place by April 2000.

In response to FY 1998 staffing shortages, SSO3 filled all vacant staff positions in FY 1999 including: a deputy team leader for the Clean Energy Program, a deputy team leader for the Energy and Environment Training Program, and a presidential management intern. Responding to contract and cooperative agreement terminations in FY 1998, SSO3 initiated and developed nine new program arrangements.

Possible Adjustments to Plans
With guidance from the new office director, SSO3 will perform a strategic review of programs and staffing. In addition, the performance-monitoring plan (PMP) will be reviewed and possibly refined.

Pending approval from Congress, USAID will receive $30 million to expand SSO3 activities from President Clinton's five year, $100 million *Clean Energy for the 21st Century Initiative* in FY 2001. The new initiative was designed to augment existing USAID energy sector reform and capacity building activities. If the money is awarded, the PMP will be revised to reflect new activities. However, without additional funding from the Clean Energy Initiative, SSO3 budget levels are expected to remain at $16 million in FY 2001 - down from the annual level of $18 million prior to FY 1999**.** This reduction may impact the ability of SSO3 to generate the projected level of results.

Other Donor Programs
Collaborators played a significant role in creating programmatic results through SSO3 managed activities. SSO3 supported staff assignments at the World Bank (3) and the Organization of American States (1) that contribute to FY 1999 performance results.

Major Contractors, Cooperators, and Grantees
SSO3 has cooperative agreements to implement programmatic activities with the United States Energy Association, Winrock International, Business Council for Sustainable Energy, Alliance to Save Energy, E&CO, and the International Institute for Energy Conservation. In addition, SSO3 has agreements with Oak Ridge National Laboratory, Sandia National Laboratory, and Lawrence Berkeley National Laboratory. Prime contractors in SSO3's two IQCs include: Hagler Bailly Services, Inc., NEXANT, Inc., AEAI, Inc., CORE International, Inc., Academy for Educational Development Inc., and the Institute for International Education.

SSO3 Performance Data Table - Indicator 1

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: FY 1999	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT: Increased, Environmentally Sustainable Energy Production and Use			
INDICATOR A: Greenhouse gas (GHG) emissions avoided			
UNIT OF MEASURE: Million tons of CO_2 equivalent (CTE)/year annual cumulative emissions averted	**YEAR**	**PLANNED**	**ACTUAL**
	1996	Baseline	0.401
SOURCE: Private sector sources, IQC, host-country industries, and utilities	1997	0.4347	0.436
	1998	0.4712	0.634
INDICATOR/DESCRIPTION: GHG emissions avoided is based on the assumption that G/ENV and partner support for the generation of environmentally sustainable energy and for improved energy efficiencies will displace the need to use such fossil fuels as oil or coal. Factors for determining emissions avoided for individual projects are dependent on the application of that project and the type of energy generation capacity displaced. When the source of generation displaced is not known an aggregate based on the countries energy mix is used to compute displacement. This indicator aggregates emissions avoided annually by projects that came on-line in previous years with emissions averted from projects in the target year. The International Protocol on Climate Change Methodology was used to calculate CO2 reductions. In addition, national fuel mix information was based on current U.S. DOE data for developing countries. There are three levels of results and impacts: **Level I** - Actual results achieved for activities directly funded by G/ENV **Level II** - Actual results achieved for activities partially funded by G/ENV, or for activities in which G/ENV contributed to development of policies, regulations, or project pre-investment **Level III** - Actual results achieved for activities replicated as a result of, but not directly supported by, G/ENV activities *** COMMENTS:** **IR 3.1 totals for FY 1999 = 0.0 CTE** **IR 3.2 totals for FY 1999 = 0.33053 CTE** **IR 3.3 totals for FY 1999 = 0.00235 CTE** **Total FY 1999 = .33288 CTE** (see annex for further detail on each subtotal) **Level I totals for FY 1999 = 0.019825 CTE** **Level II totals for FY 1999 = 0.32154 CTE** **Level III totals for FY 1999 = 0.0 CTE** **Total FY 1999= .33288 CTE** (see annex for further detail on each subtotal)	1999	0.5108	0.967*
	2000	0.5537	
	2001	0.6002	
	2002	0.6506	
	2003	0.7053	
	Total	3.9264	

SSO3 Performance Data Table - Indicator 2

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: 2000	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT SSO3: Increased, Environmentally Sustainable Energy Production and Use			
INDICATOR B: Value of private and public investment leveraged by G/ENV			
UNIT OF MEASURE: U.S. dollars (millions)	**YEAR**	**PLANNED**	**ACTUAL**
	1996	Baseline	$114.6
SOURCE: IQC, collaborators, industry, cooperators, and stakeholders	1997	$385	$496
	1998	$165	$484
INDICATOR/DESCRIPTION: Mobilizing investments and engaging partner participation in environmentally sound energy production and use are priorities for SSO3. Accordingly, this indicator monitors obligations and commitments made to environmentally sustainable energy in association with G/ENV activities at three levels: **Level I -** USAID Mission and Bureau funding obligated in conjunction with G/ENV activities **Level II -** a. External funding leveraged from partners for joint G/ENV activities b. Funding for activities in which G/ENV developed policies, regulations, or project pre-investment (prorated) c. Obligated or committed funding for MDB loan programs (prorated) d. Financial closure for private-sector funded programs **Level III -** Funding generated to replicate G/ENV-pioneered programs (new obligations, commitments, or financial closure) *** COMMENTS:** **IR 3.1 totals for FY 1999 = $516,000** **IR 3.2 totals for FY 1999 = $194,506,000** **IR 3.3 totals for FY 1999 = $13,425,000** **Total = $208,447,000** (see annex for further detail on each subtotal) **Level I totals for FY 1999 = $1,500,000** **Level II totals for FY 1999 = $206,947,000** **Level III totals for FY 1999 = $0** **Total = $208,447,000** (see annex for further detail on each subtotal)	1999	$195	$208*
	2000	$220	
	2001	$250	
	2002	$275	
	2003	$305	
	Total	$1,795	

SSO3 Performance Data Table - Indicator 3

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: 2000	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT: Increased, Environmentally Sustainable Energy Production and Use			
INDICATOR 3: Number of public policies adopted and implemented to promote environmentally sound energy production and use			
UNIT OF MEASURE: Number of policies	**YEAR**	**PLANNED**	**ACTUAL**
	1996	Baseline	5
SOURCE: Private sector sources, IQC, host-country industries, and utilities	1997	7	23
	1998	8	14
INDICATOR/DESCRIPTION: This indicator tracks the full spectrum of national, state, and local policy reforms in which G/ENV assistance plays an instrumental role in developing and implementing public policies. G/ENV will track when governmental bodies formally adopt policies, and when policies are implemented. Results to be monitored from policy reforms may include tax restructuring, reductions of fossil fuel subsidies, private power purchase agreements, passage, and enactment of energy codes and standards. *** COMMENTS:** **IR 3.1 totals for FY 1999 = 1** **IR 3.2 totals for FY 1999 = 10** **IR 3.3 totals for FY 1999 = 2** (see annex for further detail on each subtotal)	1999	9	13*
	2000	9	
	2001	9	
	2002	9	
	2003	9	
	Total	65	

SPECIAL OBJECTIVE 1: AGENCY CLIMATE CHANGE PROGRAM EFFECTIVELY IMPLEMENTED

Self-Assessment

This R4 marks the first year of reporting results under G/ENV Special Objective for Climate Change (SpO1). In accordance with the SpO1 performance monitoring plan and results framework, indicators have been finalized during this reporting cycle. Based on FY 1999 results for SpO1, the SpO1 Team has set targets against which progress will be measured with FY 2000 results. Anecdotal evidence suggests that, despite a shortage of staff, implementation of the Agency Climate Change Program is on track. The SpO1 Team will closely monitor program activities as collaborative working relationships continue to strengthen for this cross-sectoral initiative.

Summary

The overarching objective of USAID's Climate Change Program is to promote sustainable development that minimizes the associated growth in greenhouse gas emissions and reduces vulnerability to climate change. USAID works through the SpO1 Team to address climate change through Agency-based and international initiatives. In FY 1999, the Team successfully initiated implementation of the Agency Climate Change Initiative (CCI) through collaboration with G/ENV offices, regional bureaus, and missions. By leveraging expertise and other technical resources across a range of Agency programs and activities, the Team has worked to successfully establish the cross-sectoral synergies and working relationships that are essential for meeting Agency climate change objectives. Additionally, the Team has demonstrated strong leadership both within the U.S. government and internationally, applying Agency core competencies to develop innovative programs and strategies that further the goals of the United Nations Framework Convention on Climate Change (UNFCCC).

As reflected in the SpO1 results framework, the SpO1 Team has established a two-pronged approach to implement USAID's Climate Change Program, comprised of two intermediate results: IR1.1, Effective management and technical leadership of the USAID Climate Change Initiative sustained; and IR 1.2, Developing and transition country participation in UNFCCC strengthened. Though program development is still in its early stages, the Team has made significant progress in establishing program management systems and operational strategies that enable the achievement of these mutually reinforcing, complementary program results.

Climate Change Initiative. A five-year, $1 billion Presidential commitment, the CCI aims to decrease net greenhouse emissions, increase developing and transition country participation in the UNFCCC, and reduce vulnerability to threats posed by climate change. Working in more than 40 missions, bureaus, and regional programs, the Initiative encompasses a range of activities and projects that meet energy, agricultural, urban, forestry, and biodiversity program goals, while providing a net climate benefit. As part of its global initiatives to strengthen mission capacity to implement and report on CCI activities, the Team provided technical assistance in FY 1999 to six USAID missions in support of results monitoring and strategic planning efforts. All 44 operating units participating in the Initiative reported results for the first time on CCI indicators developed by the Team. These results provided a reporting baseline for the CCI and were used to establish indicators for measuring overall results for the SpO1 Team.

International Activities. In FY 1999 the SpO1 Team continued to play a strong leadership role both in strengthening developing and transition country participation in the Convention, and in supporting U.S. government negotiations in UNFCCC meetings. Through capacity building events and activities, the Team worked with officials and experts from developing and transition countries worldwide to promote the achievement of UNFCCC goals. On the negotiations side, the SpO1 Team played a prominent role at UNFCCC meetings in combination with other G/ENV staff. At the Fifth Conference of the Parties (COP-5) in Bonn, the SpO1 Team and G/ENV staff led U.S. negotiations on capacity building, while at the Subsidiary Body on Scientific and Technological Advice (SBSTA) meeting, they helped advance discussions on technology cooperation, a major focus of SpO1 programmatic activities. In particular, the SpO1 Team has played a leadership role supporting the development of Technology Cooperation Agreement Pilot Program (TCAPP), an innovative, inter-agency pilot project that has become a model for technology transfer under the Convention.

Key Results

The SpO1 Team tracks specific performance indicators designed to gauge the effectiveness of both Agency management of the Climate Change Initiative (SpO1 IR 1.1), and Agency leadership in international activities that strengthen developing and transition country participation in the UNFCCC (SpO1 IR 1.2). While FY 1999 marks the first year of results, brief highlights of significant programmatic and management results are provided below to illustrate how the SpO1 is beginning to meet its objectives.

Innovative Technology Cooperation Program Makes Significant Progress. The SpO1 Team provided strong leadership in the continued development of TCAPP, an interagency program supported by USAID, DOE and EPA and implemented by the National Renewable Energy Laboratory (NREL). Designed to assist the U.S. in meeting its obligations under the UNFCCC, TCAPP facilitates international investment in clean energy technologies. Working in partnership with developing and transition country governments worldwide, TCAPP developed strategies for mobilizing private investment and donor support to address country-specific technology cooperation needs. Several new investment actions developed under TCAPP include business matching programs, private sector solicitations, policy reform actions, pre-feasibility studies, and donor meetings. One notable program achievement was a joint activity with the Climate Technology Initiative to help develop regional technology priorities for the Southern African Development Community (SADC).

Leadership in UNFCCC Negotiations. The SpO1 Team provided strong leadership in support of efforts to build developing and transition country capacity under the UNFCCC. In particular, our delegation to COP-5 led U.S. negotiations by preparing and delivering the U.S. intervention on capacity building, which was based in part on USAID experience and expertise in this area. Likewise, the Team supported a wide range of capacity building activities to strengthen developing and transition country participation in UNFCCC negotiations and related events, including contributions to on-going efforts to assist small island states that are most vulnerable to sea level rise. Similarly, the Team also led the U.S. Government in activities related to UNFCCC negotiations on technology transfer, including the development of a compendium of all USG technology transfer activities for distribution at COP-5, and direct support for the consultative process on technology transfer.

Central Role in Interagency Climate Change Activities. The SpO1 Team contributed USAID experience and expertise to USG climate change activities through ongoing participation in the Interagency Working Group on Climate Change. In addition, the Team played an active role in the interagency U.S. Country Studies Program and supported the technical review of 13 proposals and 10 projects under the U.S. Initiative on Joint Implementation (USIJI).

Mission Support for Implementation of Initiative. The SpO1 Team provided support to key climate change countries, including Mexico, Brazil, India, Ukraine, South Africa, and Egypt. Field visits supported development of mission climate change strategies for program implementation and Initiative reporting. To provide mission staff with a broader perspective on new climate change developments, the Team incorporated climate change as a major workshop theme in the 1999 USAID Environment Officers Training Workshop.

Climate Change Initiative Sets Program Baselines. Charged with overall management of the Initiative, including worldwide monitoring of Initiative results, the SpO1 Team established CCI indicator baselines that enable effective program monitoring and adjustment. Based on FY 1998 data, the SpO1 Team is using these baselines to measure progress under the Initiative. Additionally, the Team used these baselines to track progress in managing the Initiative.

Performance and Prospects

G/ENV measures annual performance through "value-added" indicators, common to all Center teams, and through IR team-specific programmatic and management indicators. Below is a brief summary of the SpO1 Team's first year results for each value-added indicator, and for three key program indicators. Because FY 1999 is the baseline year for SpO1, performance will be measured starting in FY 2000. Since the SpO1 Team manages no contracting mechanisms, it does not report on Value Added Indicator 2.

Value-Added Indicators

G/ENV Value Added Indicator 1: Field-based assistance (TDYs) provided in response to Mission/Bureau requests. In its first year of reporting, the SpO1 Team provided field-based assistance to six countries, including India, Ukraine, Mexico, Brazil, South Africa, and Egypt, spending 49 person-days in the field. Most field support was directed at providing assistance in completing CCI reporting requirements. As new staff members join the Team in FY 2000, the Team expects to meet the new targets of ten countries supported and 60 person-days in the field.

G/ENV Value Added Indicator 3: Number of USAID policies, strategies, and programs reflecting G/ENV leadership. In FY 1999, the Team refined performance monitoring indicators for the Climate Change Initiative, and added new indicators for policy development and capacity building. The SpO1 Team also strengthened performance monitoring data collection and analysis systems. In all, the Team managed reporting, data collection, and analysis for 44 reporting units worldwide under the CCI. Forty-three units are expected to report in FY 2000.

G/ENV Value Added Indicator 4: Number of international policies, strategies, programs, and projects influenced by G/ENV leadership. The SpO1 Team demonstrated leadership through targeted involvement in international efforts to address global climate change. For example, the

Team supported preparation of an expert paper on innovative carbon-offsetting practices for use by USAID missions and other international institutions working in land use and forest management. To promote technology cooperation under the Convention, the Team supported and participated in a multilateral activity in Zimbabwe on technology diffusion in Africa that featured direct engagement by the private sector. The Team likewise supported two regional workshops in Dakar, Senegal to promote private sector investment opportunities for climate change mitigation in developing countries. To advance the UNFCCC consultative process on technology transfer, the Team led the development of the USG submission on technology transfer to the SBSTA meeting in Bonn, and compiled and disseminated resource documents describing USG technology cooperation activities at COP-5.

Indicator		Year						
		1999	**2000**	**2001**	**2002**	**2003**	**2004**	**2005**
Indicator 1: Field-based assistance (TDYs) provided in response to mission/bureau requests (a. no. of missions visited; b. no. of person days)	Planned	Baseline	a. 10 b. 60	a. 10 b. 60	a. 10 b. 60	a. 10 b. 60	a. 10 b. 60	a. 10 b. 60
	Actual	a. 6 b. 49						
Indicator 3: Number of Agency Policies, Strategies and Programs reflecting G/ENV Leadership	Planned	Baseline	3	4	4	5	5	5
	Actual	3						
Indicator 4: Number of international policies, strategies, programs, and projects influenced by G/ENV leadership	Planned	Baseline	15	15	15	15	15	15
	Actual	15						

SpO and IR Indicators

SpO1 Indicators – Indicators measuring effective implementation of the Agency Climate Change Program. Based on the CCI results and indicators, the SpO1 Team has set baselines for four indicators as measures that reflect the overall effectiveness of the Team in managing the Agency's Climate Change Program. While the SpO1 Team cannot take full credit for all of the Agency's results in climate change, the indicators nevertheless reflect the success of the Team's overall management of the CCI.

IR 1.1.1 Indicator B – Number of mission and sectoral strategies developed with G/ENV leadership. Mission support is a key function of the SpO1 Team. For example, the Team assists key missions in developing climate change strategies that build on existing strategic frameworks to support program implementation, strategic planning, and performance monitoring. In FY 1999, the Team made progress in helping missions develop climate change strategies to strengthen USAID's field-driven approach to climate change mitigation, and ensure cohesion among Agency programs and activities. One key mission, India, developed and is now implementing a strategy. In FY 2000, the Team will support the development of at least three strategies, one for Mexico, Ukraine, and G/ENV's Urban Climate Change Programs.

IR 1.2.1 Indicator B – Number of technology cooperation programs, policies and strategies developed or implemented with G/ENV leadership. Under TCAPP, in FY 1999 the Team implemented 10 major investment activities and events in Brazil, Egypt, Kazakhstan, Mexico,

Philippines, and SADC. Through a network of over 150 companies, TCAPP established a mechanism for engaging the private sector, developing business matchmaking programs, and private sector solicitations as well as side events for UNFCCC meetings. One key goal of TCAPP is to assist in identifying and removing policy, institutional, technical and financial barriers to technology diffusion. In one instance, the Philippines TCAPP effort developed a series of policy reforms into Fast Track Recommendations in FY 1999. Looking ahead, in FY 2000 TCAPP will develop two to three business investment projects per country, further establishing TCAPP as a model for technology transfer under the UNFCCC.

Possible Adjustments to Plans

Having only established baselines in this reporting cycle, the Team may refine its indicators and targets in FY 2000 to meet objectives defined in the SpO1 performance monitoring plan. In particular, the Team has established targets and timetables under the assumption that staffing shortfalls will be rectified early in FY 2000. Actual results and future adjustments will depend in part on this assumption.

Other Donor Programs

USAID relies on its strong working relationships with other USG agencies, multilateral lending institutions, bilateral donors, and the private sector to implement climate change mitigation activities. Through these partnerships, USAID is able to leverage resources, ensure greater sustainability of its programs, and encourage climate-friendly investments by our donor partners.

Major Contractors and Grantees

USAID implements global Climate Change Programs through international organizations such as the Secretariat for the Framework Convention on Climate Change; private sector firms such as Bechtel and Hagler Bailly; U.S. and host country non-governmental organizations such as the Center for Clean Air Policy, Winrock International and the Center for Sustainable Development in the Americas; host country government agencies; and U.S. trade associations. USAID also collaborates with other USG agencies, principally the Department of State, US EPA, US DOE, and NREL.

SpO1 Performance Data Tables - Indicator SpO1a

<table>
<tr><td colspan="4">OBJECTIVE: Agency Climate Change Program Effectively Implemented</td></tr>
<tr><td colspan="2">APPROVED: 1999</td><td colspan="2">COUNTRY/ORGANIZATION: G/ENV/GCC</td></tr>
<tr><td colspan="4">RESULT NAME: Agency Climate Change Program Effectively Implemented</td></tr>
<tr><td colspan="4">INDICATOR: Area where USAID has initiated interventions to maintain or increase carbon stocks or reduce their rate of loss</td></tr>
<tr><td rowspan="5">UNIT OF MEASURE: Hectares, in millions

SOURCE: SpO 1 Team. Information reported here is based on climate change data gathered during FY99 for activities taking place during FY98. This is the latest and most accurate climate change data for the Agency.

INDICATOR/DESCRIPTION:
This indicator measures the area (in hectares) of land where USAID has initiated interventions to maintain or increase carbon stocks or reduce their rate of loss. The indicator provides the collective results from all Agency units reporting on Climate Change Initiative Result 1, Indicator 1.

COMMENTS:
Years of data available. Because the Climate Change Initiative will be active through FY2002 only, Climate Change Initiative indicators will be measured through FY2003 only.
“Proxy” indicator. While the SpO1 Team does not have direct influence over the Agency’s Climate Change Initiative results, this indicator serves as a proxy measure, reflecting the overall success of the SpO1 team in managing the Initiative.</td><td>YEAR</td><td>PLANNED</td><td>ACTUAL</td></tr>
<tr><td>1998</td><td>Baseline</td><td>55.4</td></tr>
<tr><td>1999</td><td>57.0</td><td></td></tr>
<tr><td>2000</td><td>58.0</td><td></td></tr>
<tr><td>2001</td><td>59.5</td><td></td></tr>
<tr><td>2002</td><td>61.0</td><td></td></tr>
</table>

SpO1 Performance Data Tables - Indicator SpO1b

<table>
<tr><td colspan="4">OBJECTIVE: Agency Climate Change Program Effectively Implemented</td></tr>
<tr><td colspan="2">APPROVED: 1999</td><td colspan="2">COUNTRY/ORGANIZATION: G/ENV/GCC</td></tr>
<tr><td colspan="4">RESULT NAME: Agency Climate Change Program Effectively Implemented</td></tr>
<tr><td colspan="4">INDICATOR: Emissions of carbon dioxide equivalents avoided due to USAID assistance</td></tr>
<tr><td rowspan="2">UNIT OF MEASURE: Million metric tons of carbon dioxide equivalents</td><td>YEAR</td><td>PLANNED</td><td>ACTUAL</td></tr>
<tr><td>1998</td><td>Baseline</td><td>2.85</td></tr>
<tr><td>SOURCE: SpO 1 Team. Information reported here is based on climate change data gathered during FY99 for activities taking place during FY98. This is the latest and most accurate climate change data for the Agency.</td><td>1999</td><td>2.90</td><td></td></tr>
<tr><td rowspan="3">INDICATOR/DESCRIPTION:
This indicator measures million metric tons of carbon dioxide equivalents avoided through USAID assistance in activities involving, for example, renewable energy, energy efficiency, clean fuels, or methane gas recovery. The indicator provides the collective results from all Agency units reporting on Climate Change Initiative Result 2, Indicator 1.

COMMENTS:
Years of data available. Because the Climate Change Initiative will be active through FY2002 only, Climate Change Initiative indicators will be measured through FY2003 only.
“Proxy” indicator. While the SpO1 Team does not have direct influence over the Agency’s Climate Change Initiative results, this indicator serves as a proxy measure, reflecting the overall success of the SpO1 team in managing the Initiative.</td><td>2000</td><td>2.90</td><td></td></tr>
<tr><td>2001</td><td>2.95</td><td></td></tr>
<tr><td>2002</td><td>2.95</td><td></td></tr>
</table>

SpO1 Performance Data Tables - Indicator SpO1c

OBJECTIVE: Agency Climate Change Program Effectively Implemented			
APPROVED: 1999	**COUNTRY/ORGANIZATION:** G/ENV/GCC		
RESULT NAME: Agency Climate Change Program Effectively Implemented			
INDICATOR: Policy advances in support of participation in the UNFCCC; in the land use/forestry sector; or in the energy sector, industry, or urban areas			
UNIT OF MEASURE: Number of policy steps achieved	**YEAR**	**PLANNED**	**ACTUAL**
	1998	Baseline	585
SOURCE: SpO 1 Team. Information reported here is based on climate change data gathered during FY99 for activities taking place during FY98. This is the latest and most accurate climate change data for the Agency.	1999	500	
INDICATOR/DESCRIPTION: This indicator measures steps achieved through (1) policy preparation and presentation, (2) policy adoption, or (3) policy enforcement and implementation. A policy is defined as any legislation, regulation, or other official guidance requiring a specified legal course of action by government, public, or private sector body. The indicator provides the aggregate results from all Agency units reporting on Climate Change Initiative Result 1, Indicator 1; Result 2, Indicator 3; and Result 3, Indicator 3. **COMMENTS:** **Years of data available.** Because the Climate Change Initiative will be active through FY2002 only, Climate Change Initiative indicators will be measured through FY2003 only. **"Proxy" indicator.** While the SpO1 Team does not have direct influence over the Agency's Climate Change Initiative results, this indicator serves as a proxy measure, reflecting the overall success of the SpO1 team in managing the Initiative. **Note.** The numbers of both capacity building activities and institutions strengthened are expected to decrease progressively as program staff identify and work more closely with organizations that demonstrate strong commitment to working to meet goals of the Initiative.	2000	450	
	2001	400	
	2002	400	

SpO1 Performance Data Tables - Indicator SpO1d

<table>
<tr><td colspan="4">OBJECTIVE: Agency Climate Change Program Effectively Implemented</td></tr>
<tr><td colspan="2">APPROVED: 1999</td><td colspan="2">COUNTRY/ORGANIZATION: G/ENV/GCC</td></tr>
<tr><td colspan="4">RESULT NAME: Agency Climate Change Program Effectively Implemented</td></tr>
<tr><td colspan="4">INDICATOR: Institutions strengthened in support of participation in the UNFCCC; in the land use/forestry sector; or in the energy sector, industry, or urban areas</td></tr>
<tr><td rowspan="4">UNIT OF MEASURE: (a) number of capacity building activities, (b) number of institutions strengthened

SOURCE: SpO 1 Team. Information reported here is based on climate change data gathered during FY99 for activities taking place during FY98. This is the latest and most accurate climate change data for the Agency.

INDICATOR/DESCRIPTION:
This indicator measures (a) the number of capacity building activities, including training and technical assistance, as well as (b) the number of institutions receiving training or technical assistance, as a measure of institution strengthening. The indicator provides the collective results from all Agency units reporting on Climate Change Initiative Result 1, Indicator 2; Result 2, Indicator 5; and Result 3, Indicator 6.

COMMENTS:
Years of data available. Because the Climate Change Initiative will be active through FY2002 only, Climate Change Initiative indicators will be measured through FY2003 only.
“Proxy” indicator. While the SpO1 Team does not have direct influence over the Agency’s Climate Change Initiative results, this indicator serves as a proxy measure, reflecting the overall success of the SpO1 team in managing the Initiative.
Note. Policy steps are expected to decrease progressively as program focus shifts toward more project-oriented activities.</td><td>YEAR</td><td>PLANNED</td><td>ACTUAL</td></tr>
<tr><td>1998</td><td>Baseline</td><td>(a) 466
(b) 926</td></tr>
<tr><td>1999</td><td>(a) 400
(b) 500</td><td>(a)
(b)</td></tr>
<tr><td>2000</td><td>(a) 350
(b) 450</td><td>(a)
(b)</td></tr>
<tr><td>2001</td><td>(a) 300
(b) 400</td><td>(a)
(b)</td></tr>
<tr><td>2002</td><td>(a) 300
(b) 400</td><td>(a)
(b)</td></tr>
</table>

GLOBAL BUREAU ENVIRONMENT CENTER
FY 2002 R4

Resource Request

April 14, 2000

Table of Contents

R4 Control Levels

Global Bureau Center/Office	*FY 2000 TOTAL*	*FY 2001 TOTAL*	*FY 2002 TOTAL*
Democracy & Governance	***10,968,000***	***13,829,000***	***15,212,000***
Economic Growth & Govn.	***64,497,000***	***72,489,000***	***74,489,000***
Environment Center	***31,246,000***	***60,204,000***	***66,224,000***
Human Capacity Develop.	***12,934,000***	***11,998,000***	***13,198,000***
Population Health & Nutrit.	***259,360,000***	***335,819,000***	***345,819,000***
Women In Development	***10,000,000***	***10,000,000***	***11,000,000***
Prog. Develp. Stratg. Prog.	***1,500,000***	***1,500,000***	***1,500,000***
TOTAL:	***390,505,000***	***505,839,000***	***527,442,000***

Control levels only represent NOA core funds except for FY 2000, which includes new allocation of 7.675 of C/O funds.

FY 2000 Budget Request by Program/Country

Fiscal Year: 2000 **Program/Country: Center for Environment**

Approp:

Scenario:

S.O. # , Title

	Bilateral/ Field Spt	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G	Est. S.O. Expendi-tures	Est. S.O. Pipeline End of FY2001
		FY 2000 Request													
SO 1:	Improved Protection and More Sustainable Use of Natural Resources														
	Bilateral	11,600						0				11,600		9,371	9,280
	Field Spt	9,283										9,283		1,898	7,385
		20,883	0	0	0	0	0	0	0	0	0	20,883	0	11,269	16,665
SO 2:	Improved Management of Urbanization in Targeted Areas														
	Bilateral	346										346		2,772	277
	Field Spt	92										92		18	74
		438	0	0	0	0	0	0	0	0	0	438	0	2,790	351
SO 3:	Increased Environmentally Sustainable Energy Production and Use														
	Bilateral	16,000										16,000		22,667	12,800
	Field Spt	10,928										10,928		2,186	8,742
		26,928	0	0	0	0	0	0	0	0	0	26,928	0	24,853	21,542
SO 4:	Reduced Threat to Sustainable Development from Global Climate Change														
(SP.O #1)	Bilateral	3,300										3,300		3,023	2,640
	Field Spt	0													
		3,300	0	0	0	0	0	0	0	0	0	3,300	0	3,023	2,640
SO 5:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral		31,246	0	0	0	0	0	0	0	0	0	31,246	0	37,833	24,997
Total Field Support		20,303	0	0	0	0	0	0	0	0	0	20,303	0	4,102	16,201
TOTAL PROGRAM		51,549	0	0	0	0	0	0	0	0	0	51,549	0	41,935	41,198

FY 2000 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	51,549
Program ICASS	0
GCC (from all Goals)	0

FY 2000 Account Distribution (DA only)	
Dev. Assist Program	51,549
Dev. Assist ICASS	
Dev. Assist Total:	51,549
CSD Program	0
CSD ICASS	
CSD Total:	0

Prepare one set of tables for each Fiscal Year (FY2000, FY2001, FY2002)
Prepare one set of tables for each appropriation Account
Tables for DA and CSD may be combined on one table.
For the DA/CSD Table, columns marked with (*) will be funded from the CSD Account. (**) Health Promotion is normally funded from the CSD Account, although amounts for Victims of War/Victims of Torture are funded from the DA/DFA Account

FY 2001 Budget Request by Program/Country

Fiscal Year: 2001 **Program/Country: Center for Environment**

Approp:

Scenario:

S.O. # , Title

	Bilateral/ Field Spt	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G	Est. S.O. Expendi-tures	Est. S.O. Pipeline End of FY2002
		FY 2001 Request													
SO 1:	Improved Protection and More Sustainable Use of Natural Resources														
	Bilateral	23,600						0				23,600		14,000	18,880
	Field Spt														0
		23,600	0	0	0	0	0	0	0	0	0	23,600	0	14,000	18,880
SO 2:	Improved Management of Urbanization in Targeted Areas														
	Bilateral	2,104										2,104		698	1,683
	Field Spt														
		2,104	0	0	0	0	0	0	0	0	0	2,104	0	698	1,683
SO 3:	Increased Environmentally Sustainable Energy Production and Use														
	Bilateral	29,500										29,500		18,700	23,600
	Field Spt														
		29,500	0	0	0	0	0	0	0	0	0	29,500	0	18,700	23,600
SO 4:	Reduced Threat to Sustainable Development from Global Climate Change														
(SP.O #1)	Bilateral	5,000										5,000		3,640	4,000
	Field Spt	0													
		5,000	0	0	0	0	0	0	0	0	0	5,000	0	3,640	4,000
SO 5:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral		60,204	0	0	0	0	0	0	0	0	0	60,204	0	37,038	48,163
Total Field Support		0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM		60,204	0	0	0	0	0	0	0	0	0	60,204	0	37,038	48,163

FY 2001 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	60,204
Program ICASS	0
GCC (from all Goals)	0

FY 2001 Account Distribution (DA only)	
Dev. Assist Program	60,204
Dev. Assist ICASS	
Dev. Assist Total:	60,204
CSD Program	0
CSD ICASS	
CSD Total:	0

Prepare one set of tables for each Fiscal Year (FY2000, FY2001, FY2002)
Prepare one set of tables for each appropriation Account
Tables for DA and CSD may be combined on one table.
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FY 2002 Budget Request by Program/Country

Fiscal Year: 2002 **Program/Country: Center for Environment**

Approp:

Scenario:

S.O. # , Title

	Bilateral/ Field Spt	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G	Est. S.O. Expendi-tures	Est. S.O. Pipeline End of FY2003
		FY 2002 Request													
SO 1:	Improved Protection and More Sustainable Use of Natural Resources														
	Bilateral	25,100						0				25,100		23,900	20,080
	Field Spt														0
		25,100	0	0	0	0	0	0	0	0	0	25,100	0	23,900	20,080
SO 2:	Improved Management of Urbanization in Targeted Areas														
	Bilateral	4,124										4,124		2,508	3,299
	Field Spt														
		4,124	0	0	0	0	0	0	0	0	0	4,124	0	2,508	3,299
SO 3:	Increased Environmentally Sustainable Energy Production and Use														
	Bilateral	31,000										31,000		29,800	24,800
	Field Spt														
		31,000	0	0	0	0	0	0	0	0	0	31,000	0	29,800	24,800
SO 4:	Reduced Threat to Sustainable Development from Global Climate Change														
(SP.O #1)	Bilateral	6,000										6,000		5,200	4,800
	Field Spt	0													
		6,000	0	0	0	0	0	0	0	0	0	6,000	0	5,200	4,800
SO 5:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
	Bilateral	0													
	Field Spt	0													
		0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral		66,224	0	0	0	0	0	0	0	0	0	66,224	0	61,408	52,979
Total Field Support		0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM		66,224	0	0	0	0	0	0	0	0	0	66,224	0	61,408	52,979

FY 2002 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	66,224
Program ICASS	0
GCC (from all Goals)	0

FY 2002 Account Distribution (DA only)	
Dev. Assist Program	66,224
Dev. Assist ICASS	
Dev. Assist Total:	66,224
CSD Program	0
CSD ICASS	
CSD Total:	0

Prepare one set of tables for each Fiscal Year (FY2000, FY2001, FY2002)
Prepare one set of tables for each appropriation Account
Tables for DA and CSD may be combined on one table.
For the DA/CSD Table, columns marked with (*) will be funded from the CSD Account. (**) Health Promotion is normally funded from the CSD Account, although amounts for Victims of War/Victims of Torture are funded from the DA/DFA Account

Field Support
Global Bureau FY 2002 R4 Financial Profile
FY 1999 Actual Obligations
($000)

Global Bureau Center/Office:_____								
Funding Mechanisms	ANE	AFR	E&E	LAC	CENTER	BHR	PPC	Totals
Core					22,559			22,559
*Field Support Direct Obligations:								
Managed Org.	14,424	4,489	2,778	4,055		64	273	26,083
OYB Transfers								-
MAARDS	400	15		468				883
Non-Direct Obligations:								
Buy-ins (MAARDS)	42,182	7,238	28,730	9,268		400		87,818
Associate Grants								
**Other								
Totals:	57,006	11,742	31,508	13,791	22,559	464	273	137,343

* Field Support Direct Obligations must match FS database.
** Non-Direct Obligations - if Other used, please identify.

Field Support
Global Bureau FY 2002 R4 Financial Profile
FY 2000 Planned OYB
($000)

Global Bureau Center/Office: Center for Environment								
Funding Mechanisms	ANE	AFR	E&E	LAC	GLOBAL	BHR	PPC	Totals
Core					31,246			31,246
*Field Support Direct Obligations:								
Managed Org.	5,723	2,048	10,143	3,720				21,634
OYB Transfers								-
MAARDS				68				68
Non-Direct Obligations:								
Buy-ins (MAARDS)	52,735	9,049	44,614	12,520			644	119,562
Associate Grants								
**Other								
Totals:	58,458	11,097	54,757	16,308	-	-	644	141,264

* Field Support Direct Obligations must match FS database.
** Non-Direct Obligations - if Other used, please identify.

FY 2000 Activities in support of Objecti**SO#1 Improved Protection and More Sustainable Use of Natural Resources**

	Sector													
Activities	Agriculture	Other Ec Growth	Children Basic Ed	Other HCD	POP	Child Survival	Infect Diseases	HIV/AIDS	Health Promotion	Environmt	Dem/Gov	Est Expen	Est Pipeline	Est Mortgage
Global Conservation Program										5,400		2,750	3,900	10,400
Neo-Tropical Migratory Birds Program										600		600	600	4,400
Forestry										1,820		1,300	950	Continuing
Coastal Resources Management										750		750	200	2,500
Integrated Water Resources Management										1,060		800	300	Continuing
Environmental Education and Communication										1,440		600	565	7,825
Sustanable Agriculture										530		300	250	450
Total										11,600				

1. Activities must be listed in priority order.
2. Indicate any directive funds.
3. Table must be completed for FY 2000 for each objective level provided in summary table.

FY 2001 Activities in support of Objecti **SO#1 Improved Protection and More Sustainable Use of Natural Resources**

	Sector													
Activities	Agriculture	Other Ec Growth	Children Basic Ed	Other HCD	POP	Child Survival	Infect Diseases	HIV/AIDS	Health Promotion	Environmt	Dem/Gov	Est Expen	Est Pipeline	Est Mortgage
Global Conservation Program										12,900		7,000	9,800	6,200
Neo-Tropical Migratory Birds Program										600		600	600	3,800
Forestry										6,320		3,800	3,470	22,500
Coastal Resources Management										750		750	200	1,750
Integrated Water Resources Management										1,060		900	460	Continuing
Environmental Education and Communication										1,440		1,300	705	6,535
Sustanable Agriculture										530		530	300	300
Total										23,600				

1. Activities must be listed in priority order.
2. Indicate any directive funds.
3. Table must be completed for FY 2000 for each objective level provided in summary table.

FY 2002 Activities in support of Objecti **SO#1 Improved Protection and More Sustainable Use of Natural Resources**

	Sector													
Activities	Agriculture	Other Ec Growth	Children Basic Ed	Other HCD	POP	Child Survival	Infect Diseases	HIV/AIDS	Health Promotion	Environmt	Dem/Gov	Est Expen	Est Pipeline	Est Mortgage
Global Conservation Program										12,900		12,500	10,200	39,500
Neo-Tropical Migratory Birds Program										600		600	600	3,200
Forestry										6,320		7,000	2,790	18,000
Coastal Resources Management										750		750	200	1,000
Integrated Water Resources Management										2,560		1,500	1,520	6,000
Environmental Education and Communication										1,440		1,550	595	5,245
Sustanable Agriculture										530		530	300	150
Total														
										25,100				

1. Activities must be listed in priority order.
2. Indicate any directive funds.
3. Table must be completed for FY 2000 for each objective level provided in summary table.

FY 2000 Activities in support of Objective: **SO #2 Improved Management of Urbanization in Targeted Areas**

	Sector													
Activities	Agriculture	Other Ec Growth	Children Basic Ed	Other HCD	POP	Child Survival	Infect Diseases	HIV/AIDS	Health Promotion	Environmt	Dem/Gov	Est Expen	Est Pipeline	Est Mortgage
G/ENV/UP-RUDO Staff Support										753		547	565	744
RUDO Programmatic Support										1,512		1,743	1,134	1,666
Making Cities Work Initiative										1,129		1,412	847	3,300
Resource Cities Partnerships										422		106	316	357
Public/Private Partnership for Habitat Programming										118		48	70	-
Total *										3,934				
* Total obligation includes prior year recovered funds														

1. Activities must be listed in priority order.
2. Indicate any directive funds.
3. Table must be completed for FY 2000 for each objective level provided in summary table.

FY 2001 Activities in support of Objective: **SO #2 Improved Management of Urbanization in Targeted Areas**

	Sector													
Activities	Agriculture	Other Ec Growth	Children Basic Ed	Other HCD	POP	Child Survival	Infect Diseases	HIV/AIDS	Health Promotion	Environmt	Dem/Gov	Est Expen	Est Pipeline	Est Mortgage
G/ENV/UP-RUDO Staff Support										774		617	722	1,116
RUDO Programmatic Support										830		1,058	906	1,438
Making Cities Work Initiative										366		726	487	2,940
Resource Cities Partnerships										134		270	180	221
Public/Private Partnership for Habitat Programming										-		70	-	-
Total										2,104				

1. Activities must be listed in priority order.
2. Indicate any directive funds.
3. Table must be completed for FY 2000 for each objective level provided in summary table.

FY 2002 Activities in support of Objective: **SO #2 Improved Management of Urbanization in Targeted Areas**

	Sector													
Activities	Agriculture	Other Ec Growth	Children Basic Ed	Other HCD	POP	Child Survival	Infect Diseases	HIV/AIDS	Health Promotion	Environmt	Dem/Gov	Est Expen	Est Pipeline	Est Mortgage
G/ENV/UP-RUDO Staff Support										797		779	740	1,134
RUDO Programmatic Support										1,666		1,039	1,533	2,065
Making Cities Work Initiative										1,438		634	1,291	3,744
Resource Cities Partnerships										223		156	247	288
Public/Private Partnership for Habitat Programming										-		-	-	-
Total										4,124				

1. Activities must be listed in priority order.
2. Indicate any directive funds.
3. Table must be completed for FY 2000 for each objective level provided in summary table.

FY 2000 Activities in support of Objecti **SO #3 Increased Environmentally Sustainable Energy Production and Use**

	Sector													
Activities	Agriculture	Other Ec Growth	Children Basic Ed	Other HCD	POP	Child Survival	Infect Diseases	HIV/AIDS	Health Promotion	Environmt	Dem/Gov	Est Expen	Est Pipeline	Est Mortgage
Clean Energy Program										4,400		4,400	3,960	4,400
Renewable Energy Program										4,500		4,500	4,050	4,500
Energy Efficiency Program										4,100		4,100	3,690	4,100
Energy Training Program										2,000		2,000	1,800	2,000
Energy Partnership Program										1,000		1,000	900	1,000
Clean Energy for the 21st Century Initiative														
Total										16,000				

1. Activities must be listed in priority order.
2. Indicate any directive funds.
3. Table must be completed for FY 2000 for each objective level provided in summary table.

FY 2001 Activities in support of Objective: **SO #3 Increased Environmentally Sustainable Energy Production and Use**

	Sector													
Activities	Agriculture	Other Ec Growth	Children Basic Ed	Other HCD	POP	Child Survival	Infect Diseases	HIV/AIDS	Health Promotion	Environmt	Dem/Gov	Est Expen	Est Pipeline	Est Mortgage
Clean Energy Program										4,400		4,400	3,960	4,400
Renewable Energy Program										4,500		4,500	4,050	4,500
Energy Efficiency Program										4,100		4,100	3,690	4,100
Energy Training Program										2,000		2,000	1,800	2,000
Energy Partnership Program										1,000		1,000	900	1,000
Clean Energy for the 21st Century Initiative										13,500		1,350	12,150	13,500
Total										29,500				

1. Activities must be listed in priority order.
2. Indicate any directive funds.
3. Table must be completed for FY 2000 for each objective level provided in summary table.

FY 2002 Activities in support of Objective: **SO #3 Increased Environmentally Sustainable Energy Production and Use**

	Sector													
Activities	Agriculture	Other Ec Growth	Children Basic Ed	Other HCD	POP	Child Survival	Infect Diseases	HIV/AIDS	Health Promotion	Environmt	Dem/Gov	Est Expen	Est Pipeline	Est Mortgage
Clean Energy Program										4,900		4,400	3,960	4,400
Renewable Energy Program										5,000		4,500	4,050	4,500
Energy Efficiency Program										4,600		4,100	3,690	4,100
Energy Training Program										2,000		2,000	1,800	2,000
Energy Partnership Program										1,000		1,000	900	1,000
Clean Energy for the 21st Century Initiative										13,500		13,500	12,150	13,500
Total										31,000				

1. Activities must be listed in priority order.
2. Indicate any directive funds.
3. Table must be completed for FY 2000 for each objective level provided in summary table.

FY 2000 Activities in support of Objective: **SP.O #1 Reduced Threat to Sustainable Development from Global Climate Change**

	Sector													
Activities	Agriculture	Other Ec Growth	Children Basic Ed	Other HCD	POP	Child Survival	Infect Diseases	HIV/AIDS	Health Promotion	Environmt	Dem/Gov	Est Expen	Est Pipeline	Est Mortgage
Technical and Administrative Support										330		262	354	-
Technical Staff										250		380	313	-
Mission Support - Training										50		45	55	-
Mission Support - Informational										100		90	110	-
Mission Support - Strategy Development and Project Support										1,254		230	1,155	-
Technology Cooperation										700		452	726	-
Capacity Building/Workshops										616		891	762	-
Total										3,300				

1. Activities must be listed in priority order.
2. Indicate any directive funds.
3. Table must be completed for FY 2000 for each objective level provided in summary table.

FY 2001 Activities in support of Objective: **SP.O #1 Reduced Threat to Sustainable Development from Global Climate Change**

	Sector													
Activities	Agriculture	Other Ec Growth	Children Basic Ed	Other HCD	POP	Child Survival	Infect Diseases	HIV/AIDS	Health Promotion	Environmt	Dem/Gov	Est Expen	Est Pipeline	Est Mortgage
Technical and Administrative Support										500		447	542	100
Technical Staff										350		330	333	70
Mission Support - Training										-		55	-	-
Mission Support - Informational										250		120	240	50
Mission Support - Strategy Development and Project Support										1,600		1,609	1,146	320
Technology Cooperation										500		780	446	100
Capacity Building/Workshops										1,800		1,094	1,468	360
Total										5,000				

1. Activities must be listed in priority order.
2. Indicate any directive funds.
3. Table must be completed for FY 2000 for each objective level provided in summary table.

FY 2002 Activities in support of Objective: **SP.O #1 Reduced Threat to Sustainable Development from Global Climate Change**

	Sector													
Activities	Agriculture	Other Ec Growth	Children Basic Ed	Other HCD	POP	Child Survival	Infect Diseases	HIV/AIDS	Health Promotion	Environmt	Dem/Gov	Est Expen	Est Pipeline	Est Mortgage
Technical and Administrative Support										600		530	612	120
Technical Staff										750		470	613	150
Mission Support - Training										-		-		-
Mission Support - Informational										250		250	240	50
Mission Support - Strategy Development and Project Support										1,600		1,600	1,146	320
Technology Cooperation										500		500	446	100
Capacity Building/Workshops										2,300		1,950	1,818	460
Total										6,000				

1. Activities must be listed in priority order.
2. Indicate any directive funds.
3. Table must be completed for FY 2000 for each objective level provided in summary table.

Operating Expense (OE) Budget Request

It will be noted that the Environment Center (G/ENV) Operating Expense requests for FY 2001 and FY 2002 have been significantly increased from previous years. This increase is due to the absorption of staff from the Office of Environment and Urban Programs (G/ENV/UP) that were hitherto funded through the Credit Administrative Expense Appropriation. This transition of staff funding comes about as a direct result of the consolidation of the Agency's credit activities under the umbrella of the Development Credit Authority (DCA) and the corresponding consolidation of technical credit personnel into the newly-formed Development Credit Staff (G/DCS).

Two of G/ENV/UP's current staff will transfer to G/DCS during FY 2000 as part of this consolidation activity. A total of eleven formerly credit-funded staff in G/ENV/UP – seven in AID/W and four in the field – will begin to encumber OE-funded positions from FY 2001 onwards, with nine more G/ENV/UP staff – two in AID/W and seven in the field – to encumber OE-funded positions in FY 2002 and onwards. (See Workforce tables)

With the addition of these staff to the Environment Center's OE-funded personnel complement, the Center's travel budget request has increased from $76,600 in FY 2000 to $114,000 in FY 2001 and then to $128,500 in FY 2002. **The request for program-funded travel also increases proportionally, from $197,000 in FY 2000 to $293,000 in FY 2001 and $330,000 in FY 2002**. These increases reflect both the proportional costs of additional personnel, as well as a higher per capita estimated travel cost among the G/ENV/UP staff. This higher per capita cost, which is commensurate with historical levels, arises from G/ENV/UP's maintenance of six Regional Urban Development Offices (RUDOs) in the field and the corresponding need to provide support and oversight to that field presence from AID/W.

Relating to the RUDOs, $602,900 in OE has been requested to support four of the formerly credit-funded RUDO staff in FY 2001, and $1,932,300 in OE has been requested to support the entire complement of eleven RUDO staff in FY 2002. This transition from AE-funding to OE-funding is related to the aforementioned credit consolidation activity and reflects the end of the Urban Environment (UE) Credit Program formerly administered by G/ENV/UP and the winding down of remaining activities and obligations of that program over the course of the next fiscal year. At the close of FY 2001, all credit activities will be effectively consolidated into G/AA/DCS, and henceforth G/ENV/UP will operate with OE funding.

Office/Bureau: Bureau for Global Programs, Field Support and Research

OC	Resource Category Title	FY 2000 Estimate	FY 2001 Target	FY 2002 Target
11.8	**Special personal services payments**	Do not enter data on this line.		
	IPA/Details-In/PASAs/RSSAs Salaries	0	0	0
	Subtotal OC 11.8	0	0	0
12.1	**Personnel Benefits**			
	IPA/Details-In/PASAs/RSSAs Salaries	0	0	0
	Subtotal OC 12.1	0	0	0
21.0	**Travel and transportation of persons**	Do not enter data on this line.		
	Training Travel	0	0	0
	Operational Travel*	Do not enter data on this line.		
	Site Visits - Headquarters Personnel	76.6	114	128.5
	Site Visits - Mission Personnel			
	Conferences/Seminars/Meetings/Retreats			
	Assessment Travel			
	Impact Evaluation Travel			
	Disaster Travel (to respond to specific disasters)			
	Recruitment Travel			
	Other Operational Travel			
	Subtotal OC 21.0	76.6	114	128.5
23.3	**Communications, Utilities, and Miscellaneous Charges**	Do not enter data on this line.		
	Commercial Time Sharing	0	0	0
	Subtotal OC 23.3	0	0	0
24.0	**Printing & Reproduction**	Do not enter data on this line.		
	Subscriptions & Publications	0	0	0
	Subtotal OC 24.0	0	0	0
25.1	**Advisory and assistance services**	Do not enter data on this line.		
	Studies, Analyses, & Evaluations			
	Management & Professional Support Services			
	Engineering & Technical Services			
	Subtotal OC 25.1	0	0	0
25.2	**Other services**	Do not enter data on this line.		
	Non-Federal Audits			
	Grievances/Investigations			
	Manpower Contracts			
	Other Miscellaneous Services			
	Staff training contracts			
	Subtotal OC 25.2	0	0	0
25.3	**Purchase of goods and services from Government accounts**	Do not enter data on this line.		
	DCAA Audits			
	HHS Audits			
	All Other Federal Audits			
	Reimbursements to Other USAID Accounts			
	All Other Services from other Gov't. Agencies			
	Subtotal OC 25.3	0	0	0

25.7	**Operation & Maintenance of Equipment & Storage**	0	0	0
	Subtotal OC 25.7	0	0	0
25.8	**Subsistance and support of persons (contract or Gov't.)**	0	0	0
	Subtotal OC 25.8	0	0	0
26.0	**Supplies and Materials**	0	0	0
	Subtotal OC 26.0	0	0	0
31.0	**Equipment**			
	ADP Software Purchases			
	ADP Hardware Purchases			
	Subtotal OC 31.0	0	0	0
	TOTAL BUDGET	76.6	114	128.5

* Travel expenses to be supplemented from Program Funds -- see narrative for details.

Org. Title:		UE RUDO Summary Table	Overseas Mission Budgets								
Org. No:		_____	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC			Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1		Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1		Base Pay & pymt. for annual leave balances - FNDH			0			0			0
	Subtotal OC 11.1		0	0	0	0	0	0	0	0	0
11.3		Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3		Base Pay & pymt. for annual leave balances - FNDH			0			0			0
	Subtotal OC 11.3		0	0	0	0	0	0	0	0	0
11.5		Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5		USDH			0			0	47.4		47.4
11.5		FNDH			0			0			0
	Subtotal OC 11.5		0	0	0	0	0	0	47.4	0	47.4
11.8		Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8		USPSC Salaries			0			0	1.5		1.5
11.8		FN PSC Salaries			0	27.2		27.2	165.5		165.5
11.8		IPA/Details-In/PASAs/RSSAs Salaries			0			0			0
	Subtotal OC 11.8		0	0	0	27.2	0	27.2	167	0	167
12.1		Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1		USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1		Educational Allowances			0	72		72	183.54		183.54
12.1		Cost of Living Allowances			0	3		3	6		6
12.1		Home Service Transfer Allowances			0			0			0
12.1		Quarters Allowances			0			0	100.9		100.9
12.1		Other Misc. USDH Benefits			0	2.7		2.7	6.4		6.4
12.1		FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	**	Payments to FSN Voluntary Separation Fund - FNDH			0			0	2.4		2.4
12.1		Other FNDH Benefits			0			0			0
12.1		US PSC Benefits			0			0			0
12.1		FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	**	Payments to the FSN Voluntary Separation Fund - FN PSC			0			0			0
12.1		Other FN PSC Benefits			0	13.5		13.5	82.5		82.5
12.1		IPA/Detail-In/PASA/RSSA Benefits			0			0			0
	Subtotal OC 12.1		0	0	0	91.2	0	91.2	381.74	0	381.74

Org. Title:	UE RUDO Summary Table	Overseas Mission Budgets								
Org. No:	_____	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
13.0	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH			0			0			0
13.0	Other Benefits for Former Personnel - FNDH			0			0			0
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs			0			0			0
13.0	Other Benefits for Former Personnel - FN PSCs			0			0			0
	Subtotal OC 13.0	0	0	0	0	0	0	0	0	0
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Training Travel			0	13.5		13.5	31.8		31.8
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Post Assignment Travel - to field			0	21.7		21.7	26		26
21.0	Assignment to Washington Travel			0			0			0
21.0	Home Leave Travel			0	13		13	26.4		26.4
21.0	R & R Travel			0	3		3	35.7		35.7
21.0	Education Travel			0			0	4		4
21.0	Evacuation Travel			0	10.7		10.7	22		22
21.0	Retirement Travel			0			0			0
21.0	Pre-Employment Invitational Travel			0			0			0
21.0	Other Mandatory/Statutory Travel			0			0	10		10
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Site Visits - Headquarters Personnel			0	35.8		35.8	105.1		105.1
21.0	Site Visits - Mission Personnel			0	22.5		22.5	179.5		179.5
21.0	Conferences/Seminars/Meetings/Retreats			0	9.3		9.3	37.6		37.6
21.0	Assessment Travel			0			0			0
21.0	Impact Evaluation Travel			0			0			0
21.0	Disaster Travel (to respond to specific disasters)			0			0			0
21.0	Recruitment Travel			0			0			0
21.0	Other Operational Travel			0	5.2		5.2	9.2		9.2
	Subtotal OC 21.0	0	0	0	134.7	0	134.7	487.3	0	487.3
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0	Post assignment freight			0	39		39	8.4		8.4
22.0	Home Leave Freight			0	4.7		4.7	3.3		3.3
22.0	Retirement Freight			0			0			0
22.0	Transportation/Freight for Office Furniture/Equip.			0			0			0

Org. Title: UE RUDO Summary Table		Overseas Mission Budgets								
Org. No: _____		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
22.0	Transportation/Freight for Res. Furniture/Equip.			0	0.4		0.4	0.4		0.4
	Subtotal OC 22.0	0	0	0	44.1	0	44.1	12.1	0	12.1
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space			0	14.7		14.7	60.4		60.4
23.2	Rental Payments to Others - Warehouse Space			0	1.6		1.6	1.6		1.6
23.2	Rental Payments to Others - Residences			0	79		79	245.9		245.9
	Subtotal OC 23.2	0	0	0	95.3	0	95.3	307.9	0	307.9
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3	Office Utilities			0	5		5	28.85		28.85
23.3	Residential Utilities			0	19.7		19.7	30.3		30.3
23.3	Telephone Costs			0	11.7		11.7	41.1		41.1
23.3	ADP Software Leases			0			0			0
23.3	ADP Hardware Lease			0			0			0
23.3	Commercial Time Sharing			0			0			0
23.3	Postal Fees (Other than APO Mail)			0	1		1	3		3
23.3	Other Mail Service Costs			0	0.6		0.6	0.6		0.6
23.3	Courier Services			0			0	1.4		1.4
	Subtotal OC 23.3	0	0	0	38	0	38	105.25	0	105.25
24.0	Printing and Reproduction			0	1		1	2.6		2.6
	Subtotal OC 24.0	0	0	0	1	0	1	2.6	0	2.6
25.1	Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1	Studies, Analyses, & Evaluations			0			0			0
25.1	Management & Professional Support Services			0	1		1	1		1
25.1	Engineering & Technical Services			0			0			0
	Subtotal OC 25.1	0	0	0	1	0	1	1	0	1
25.2	Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2	Office Security Guards			0	4		4	4		4
25.2	Residential Security Guard Services			0	3		3	4.9		4.9
25.2	Official Residential Expenses			0			0			0
25.2	Representation Allowances			0			0			0
25.2	Non-Federal Audits			0			0			0

Org. Title: UE RUDO Summary Table		Overseas Mission Budgets								
Org. No: _____		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
25.2	Grievances/Investigations			0			0			0
25.2	Insurance and Vehicle Registration Fees			0	0.3		0.3	0.3		0.3
25.2	Vehicle Rental			0			0			0
25.2	Manpower Contracts			0			0			0
25.2	Records Declassification & Other Records Services			0			0			0
25.2	Recruiting activities			0			0			0
25.2	Penalty Interest Payments			0			0			0
25.2	Other Miscellaneous Services			0	29.3		29.3	45.8		45.8
25.2	Staff training contracts			0			0	5.4		5.4
25.2	ADP related contracts			0			0	0.7		0.7
Subtotal OC 25.2		0	0	0	36.6	0	36.6	61.1	0	61.1
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS			0	71.5		71.5	163.2		163.2
25.3	All Other Services from Other Gov't. accounts			0			0			0
Subtotal OC 25.3		0	0	0	71.5	0	71.5	163.2	0	163.2
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance			0	14.1		14.1	21.8		21.8
25.4	Residential Building Maintenance			0	13.3		13.3	18.2		18.2
Subtotal OC 25.4		0	0	0	27.4	0	27.4	40	0	40
25.6	Medical Care							5		
Subtotal OC 25.6		0	0	0	0	0	0	5	0	5
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	ADP and telephone operation and maintenance costs			0	2.6		2.6	2.8		2.8
25.7	Storage Services			0			0			0
25.7	Office Furniture/Equip. Repair and Maintenance			0	0.7		0.7	5.4		5.4
25.7	Vehicle Repair and Maintenance			0	3.2		3.2	4.1		4.1
25.7	Residential Furniture/Equip. Repair and Maintenance			0	3.5		3.5	3.5		3.5
Subtotal OC 25.7		0	0	0	10	0	10	15.8	0	15.8
25.8	Subsistance & spt. of persons (by contract or Gov't.)			0			0			0
Subtotal OC 25.8		0	0	0	0	0	0	0	0	0

Org. Title: UE RUDO Summary Table		Overseas Mission Budgets								
Org. No: _____		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
26.0	Supplies and materials			0	5.4		5.4	37.5		37.5
	Subtotal OC 26.0	0	0	0	5.4	0	5.4	37.5	0	37.5
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.			0	5		5	46.7		46.7
31.0	Purchase of Office Furniture/Equip.			0	11		11	21.2		21.2
31.0	Purchase of Vehicles			0			0			0
31.0	Purchase of Printing/Graphics Equipment			0			0			0
31.0	ADP Hardware purchases			0	1		1	24		24
31.0	ADP Software purchases			0	0.5		0.5	8.5		8.5
	Subtotal OC 31.0	0	0	0	17.5	0	17.5	100.4	0	100.4
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0	Purchase of Land & Buildings (& bldg. construction)			0			0			0
32.0	Purchase of fixed equipment for buildings			0			0			0
32.0	Building Renovations/Alterations - Office			0			0			0
32.0	Building Renovations/Alterations - Residential			0	2		2	2		2
	Subtotal OC 32.0	0	0	0	2	0	2	2	0	2
42.0	Claims and indemnities			0			0			0
	Subtotal OC 42.0	0	0	0	0	0	0	0	0	0
	TOTAL BUDGET	0	0	0	602.9	0	602.9	1,932.3	0	1932.29

Additional Mandatory Information

	Dollars Used for Local Currency Purchases	_____ .			_____ .			_____ .		
	Exchange Rate Used in Computations	_____	_____		_____	_____		_____	_____	

****** If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.

On that form, OE funded deposits must equal:	0	0		2.4

Org. Title:		RUDO/Bulgaria	Overseas Mission Budgets								
Org. No:		xxxxx	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC			Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1		Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1		Base Pay & pymt. for annual leave balances - FNDH			0			0			0
	Subtotal OC 11.1		0	0	0	0	0	0	0	0	0
11.3		Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3		Base Pay & pymt. for annual leave balances - FNDH			0			0			0
	Subtotal OC 11.3		0	0	0	0	0	0	0	0	0
11.5		Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5		USDH			0			0			0
11.5		FNDH			0			0			0
	Subtotal OC 11.5		0	0	0	0	0	0	0	0	0
11.8		Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8		USPSC Salaries			0			0			0
11.8		FN PSC Salaries			0	8		8	8.4		8.4
11.8		IPA/Details-In/PASAs/RSSAs Salaries			0			0			0
	Subtotal OC 11.8		0	0	0	8	0	8	8.4	0	8.4
12.1		Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1		USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1		Educational Allowances			0	15		15	15.8		15.8
12.1		Cost of Living Allowances			0			0			0
12.1		Home Service Transfer Allowances			0			0			0
12.1		Quarters Allowances			0			0			0
12.1		Other Misc. USDH Benefits			0			0			0
12.1		FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	**	Payments to FSN Voluntary Separation Fund - FNDH			0			0			0
12.1		Other FNDH Benefits			0			0			0
12.1		US PSC Benefits			0			0			0
12.1		FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	**	Payments to the FSN Voluntary Separation Fund - FN PSC			0			0			0
12.1		Other FN PSC Benefits			0			0			0
12.1		IPA/Detail-In/PASA/RSSA Benefits			0			0			0
	Subtotal OC 12.1		0	0	0	15	0	15	15.8	0	15.8

Org. Title:	RUDO/Bulgaria	Overseas Mission Budgets								
Org. No:	xxxxx	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
13.0	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH			0			0			0
13.0	Other Benefits for Former Personnel - FNDH			0			0			0
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs			0			0			0
13.0	Other Benefits for Former Personnel - FN PSCs			0			0			0
	Subtotal OC 13.0	0	0	0	0	0	0	0	0	0
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Training Travel			0			0			0
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Post Assignment Travel - to field			0			0			0
21.0	Assignment to Washington Travel			0			0			0
21.0	Home Leave Travel			0	5		5	5.3		5.3
21.0	R & R Travel			0			0			0
21.0	Education Travel			0			0			0
21.0	Evacuation Travel			0			0			0
21.0	Retirement Travel			0			0			0
21.0	Pre-Employment Invitational Travel			0			0			0
21.0	Other Mandatory/Statutory Travel			0			0			0
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Site Visits - Headquarters Personnel			0	35		35	36.8		36.8
21.0	Site Visits - Mission Personnel			0			0			0
21.0	Conferences/Seminars/Meetings/Retreats			0			0			0
21.0	Assessment Travel			0			0			0
21.0	Impact Evaluation Travel			0			0			0
21.0	Disaster Travel (to respond to specific disasters)			0			0			0
21.0	Recruitment Travel			0			0			0
21.0	Other Operational Travel			0			0			0
	Subtotal OC 21.0	0	0	0	40	0	40	42.1	0	42.1
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0	Post assignment freight			0	8		8	8.4		8.4
22.0	Home Leave Freight			0			0			0
22.0	Retirement Freight			0			0			0
22.0	Transportation/Freight for Office Furniture/Equip.			0			0			0

Org. Title:	RUDO/Bulgaria	Overseas Mission Budgets								
Org. No:	xxxxx	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
22.0	Transportation/Freight for Res. Furniture/Equip.			0			0			0
	Subtotal OC 22.0	0	0	0	8	0	8	8.4	0	8.4
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space			0	7.2		7.2	7.6		7.6
23.2	Rental Payments to Others - Warehouse Space			0			0			0
23.2	Rental Payments to Others - Residences			0	25		25	26.3		26.3
	Subtotal OC 23.2	0	0	0	32.2	0	32.2	33.9	0	33.9
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3	Office Utilities			0			0			0
23.3	Residential Utilities			0	3		3	3.1		3.1
23.3	Telephone Costs			0	7.5		7.5	7.8		7.8
23.3	ADP Software Leases			0			0			0
23.3	ADP Hardware Lease			0			0			0
23.3	Commercial Time Sharing			0			0			0
23.3	Postal Fees (Other than APO Mail)			0			0			0
23.3	Other Mail Service Costs			0			0			0
23.3	Courier Services			0			0			0
	Subtotal OC 23.3	0	0	0	10.5	0	10.5	10.9	0	10.9
24.0	Printing and Reproduction			0			0			0
	Subtotal OC 24.0	0	0	0	0	0	0	0	0	0
25.1	Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1	Studies, Analyses, & Evaluations			0			0			0
25.1	Management & Professional Support Services			0			0			0
25.1	Engineering & Technical Services			0			0			0
	Subtotal OC 25.1	0	0	0	0	0	0	0	0	0
25.2	Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2	Office Security Guards			0	1		1	1		1
25.2	Residential Security Guard Services			0			0			0
25.2	Official Residential Expenses			0			0			0
25.2	Representation Allowances			0			0			0
25.2	Non-Federal Audits			0			0			0

Org. Title:	RUDO/Bulgaria	Overseas Mission Budgets								
Org. No:	xxxxx	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
25.2	Grievances/Investigations			0			0			0
25.2	Insurance and Vehicle Registration Fees			0			0			0
25.2	Vehicle Rental			0			0			0
25.2	Manpower Contracts			0			0			0
25.2	Records Declassification & Other Records Services			0			0			0
25.2	Recruiting activities			0			0			0
25.2	Penalty Interest Payments			0			0			0
25.2	Other Miscellaneous Services			0			0			0
25.2	Staff training contracts			0			0			0
25.2	ADP related contracts			0			0			0
	Subtotal OC 25.2	0	0	0	1	0	1	1	0	1
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS			0	40		40	42		42
25.3	All Other Services from Other Gov't. accounts			0			0			0
	Subtotal OC 25.3	0	0	0	40	0	40	42	0	42
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance			0	10		10	10.5		10.5
25.4	Residential Building Maintenance			0	5		5	5.2		5.2
	Subtotal OC 25.4	0	0	0	15	0	15	15.7	0	15.7
25.6	Medical Care									
	Subtotal OC 25.6	0	0	0	0	0	0	0	0	0
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	ADP and telephone operation and maintenance costs			0			0			0
25.7	Storage Services			0			0			0
25.7	Office Furniture/Equip. Repair and Maintenance			0			0			0
25.7	Vehicle Repair and Maintenance			0	3		3	3.2		3.2
25.7	Residential Furniture/Equip. Repair and Maintenance			0			0			0
	Subtotal OC 25.7	0	0	0	3	0	3	3.2	0	3.2
25.8	Subsistance & spt. of persons (by contract or Gov't.)			0			0			0
	Subtotal OC 25.8	0	0	0	0	0	0	0	0	0

OPERATING EXPENSES

Org. Title:	RUDO/Bulgaria	Overseas Mission Budgets								
Org. No:	xxxxx	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
26.0	Supplies and materials			0	3.3		3.3	3.5		3.5
	Subtotal OC 26.0	0	0	0	3.3	0	3.3	3.5	0	3.5
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.			0			0			0
31.0	Purchase of Office Furniture/Equip.			0	10		10	10.5		10.5
31.0	Purchase of Vehicles			0			0			0
31.0	Purchase of Printing/Graphics Equipment			0			0			0
31.0	ADP Hardware purchases			0			0			0
31.0	ADP Software purchases			0			0			0
	Subtotal OC 31.0	0	0	0	10	0	10	10.5	0	10.5
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0	Purchase of Land & Buildings (& bldg. construction)			0			0			0
32.0	Purchase of fixed equipment for buildings			0			0			0
32.0	Building Renovations/Alterations - Office			0			0			0
32.0	Building Renovations/Alterations - Residential			0			0			0
	Subtotal OC 32.0	0	0	0	0	0	0	0	0	0
42.0	Claims and indemnities			0			0			0
	Subtotal OC 42.0	0	0	0	0	0	0	0	0	0
	TOTAL BUDGET	0	0	0	186	0	186	195.4	0	195.4

Additional Mandatory Information

	Dollars Used for Local Currency Purchases	.			.			.		
	Exchange Rate Used in Computations									

**	If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.			
	On that form, OE funded deposits must equal:	0	0	0

Org. Title:		RUDO/Guatemala	Overseas Mission Budgets								
Org. No:		24520	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC			Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1		Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1		Base Pay & pymt. for annual leave balances - FNDH			0			0			0
	Subtotal OC 11.1		0	0	0	0	0	0	0.0	0	0
11.3		Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3		Base Pay & pymt. for annual leave balances - FNDH			0			0			0
	Subtotal OC 11.3		0	0	0	0	0	0	0.0	0	0
11.5		Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5		USDH			0			0	47.4		47.4
11.5		FNDH			0			0			0
	Subtotal OC 11.5		0	0	0	0	0	0	47.4	0	47.4
11.8		Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8		USPSC Salaries			0			0	1.5		1.5
11.8		FN PSC Salaries			0			0	68.0		68
11.8		IPA/Details-In/PASAs/RSSAs Salaries			0			0			0
	Subtotal OC 11.8		0	0	0	0	0	0	69.5	0	69.5
12.1		Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1		USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1		Educational Allowances			0			0	44.9		44.94
12.1		Cost of Living Allowances			0			0			0
12.1		Home Service Transfer Allowances			0			0			0
12.1		Quarters Allowances			0			0	100.9		100.9
12.1		Other Misc. USDH Benefits			0			0	1.4		1.4
12.1		FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	**	Payments to FSN Voluntary Separation Fund - FNDH			0			0	2.4		2.4
12.1		Other FNDH Benefits			0			0			0
12.1		US PSC Benefits			0			0			0
12.1		FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	**	Payments to the FSN Voluntary Separation Fund - FN PSC			0			0			0
12.1		Other FN PSC Benefits			0			0	63.0		63
12.1		IPA/Detail-In/PASA/RSSA Benefits			0			0			0
	Subtotal OC 12.1		0	0	0	0	0	0	212.6	0	212.64

Org. Title:	RUDO/Guatemala	Overseas Mission Budgets								
Org. No:	24520	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
13.0	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH			0			0			0
13.0	Other Benefits for Former Personnel - FNDH			0			0			0
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs			0			0			0
13.0	Other Benefits for Former Personnel - FN PSCs			0			0			0
	Subtotal OC 13.0	0	0	0	0	0	0	0.0	0	0
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Training Travel			0			0	1.3		1.3
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Post Assignment Travel - to field			0			0	26.0		26
21.0	Assignment to Washington Travel			0			0			0
21.0	Home Leave Travel			0			0	2.6		2.6
21.0	R & R Travel			0			0	2.0		2
21.0	Education Travel			0			0			0
21.0	Evacuation Travel			0			0	3.3		3.3
21.0	Retirement Travel			0			0			0
21.0	Pre-Employment Invitational Travel			0			0			0
21.0	Other Mandatory/Statutory Travel			0			0			0
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Site Visits - Headquarters Personnel			0			0	2.0		2
21.0	Site Visits - Mission Personnel			0			0	106.5		106.5
21.0	Conferences/Seminars/Meetings/Retreats			0			0	8.8		8.8
21.0	Assessment Travel			0			0			0
21.0	Impact Evaluation Travel			0			0			0
21.0	Disaster Travel (to respond to specific disasters)			0			0			0
21.0	Recruitment Travel			0			0			0
21.0	Other Operational Travel			0			0			0
	Subtotal OC 21.0	0	0	0	0	0	0	152.5	0	152.5
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0	Post assignment freight			0			0			0
22.0	Home Leave Freight			0			0	2.3		2.3
22.0	Retirement Freight			0			0			0
22.0	Transportation/Freight for Office Furniture/Equip.			0			0			0

Org. Title:	RUDO/Guatemala	Overseas Mission Budgets								
Org. No:	24520	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
22.0	Transportation/Freight for Res. Furniture/Equip.			0			0			0
	Subtotal OC 22.0	0	0	0	0	0	0	2.3	0	2.3
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space			0			0	45.3		45.3
23.2	Rental Payments to Others - Warehouse Space			0			0			0
23.2	Rental Payments to Others - Residences			0			0			0
	Subtotal OC 23.2	0	0	0	0	0	0	45.3	0	45.3
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3	Office Utilities			0			0	10.7		10.7
23.3	Residential Utilities			0			0			0
23.3	Telephone Costs			0			0	16.9		16.9
23.3	ADP Software Leases			0			0			0
23.3	ADP Hardware Lease			0			0			0
23.3	Commercial Time Sharing			0			0			0
23.3	Postal Fees (Other than APO Mail)			0			0			0
23.3	Other Mail Service Costs			0			0			0
23.3	Courier Services			0			0	1.4		1.4
	Subtotal OC 23.3	0	0	0	0	0	0	29.0	0	29
24.0	Printing and Reproduction			0			0	0.6		0.6
	Subtotal OC 24.0	0	0	0	0	0	0	0.6	0	0.6
25.1	Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1	Studies, Analyses, & Evaluations			0			0			0
25.1	Management & Professional Support Services			0			0			0
25.1	Engineering & Technical Services			0			0			0
	Subtotal OC 25.1	0	0	0	0	0	0	0.0	0	0
25.2	Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2	Office Security Guards			0			0			0
25.2	Residential Security Guard Services			0			0			0
25.2	Official Residential Expenses			0			0			0
25.2	Representation Allowances			0			0			0
25.2	Non-Federal Audits			0			0			0

Org. Title:	RUDO/Guatemala	Overseas Mission Budgets								
Org. No:	24520	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
25.2	Grievances/Investigations			0			0			0
25.2	Insurance and Vehicle Registration Fees			0			0			0
25.2	Vehicle Rental			0			0			0
25.2	Manpower Contracts			0			0			0
25.2	Records Declassification & Other Records Services			0			0			0
25.2	Recruiting activities			0			0			0
25.2	Penalty Interest Payments			0			0			0
25.2	Other Miscellaneous Services			0			0			0
25.2	Staff training contracts			0			0	5.4		5.4
25.2	ADP related contracts			0			0	0.7		0.7
	Subtotal OC 25.2	0	0	0	0	0	0	6.1	0	6.1
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS			0			0	11.2		11.2
25.3	All Other Services from Other Gov't. accounts			0			0			0
	Subtotal OC 25.3	0	0	0	0	0	0	11.2	0	11.2
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance			0			0	2.6		2.6
25.4	Residential Building Maintenance			0			0			0
	Subtotal OC 25.4	0	0	0	0	0	0	2.6	0	2.6
25.6	Medical Care									
	Subtotal OC 25.6	0	0	0	0	0	0	0.0	0	0
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	ADP and telephone operation and maintenance costs			0			0	0.1		0.1
25.7	Storage Services			0			0			0
25.7	Office Furniture/Equip. Repair and Maintenance			0			0	1.7		1.7
25.7	Vehicle Repair and Maintenance			0			0	0.7		0.7
25.7	Residential Furniture/Equip. Repair and Maintenance			0			0			0
	Subtotal OC 25.7	0	0	0	0	0	0	2.5	0	2.5
25.8	Subsistance & spt. of persons (by contract or Gov't.)			0			0			0
	Subtotal OC 25.8	0	0	0	0	0	0	0.0	0	0

OPERATING EXPENSES

Org. Title:	RUDO/Guatemala	Overseas Mission Budgets								
Org. No:	24520	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
26.0	Supplies and materials			0			0	5.9		5.9
	Subtotal OC 26.0	0	0	0	0	0	0	5.9	0	5.9
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.			0			0	35.2		35.2
31.0	Purchase of Office Furniture/Equip.			0			0	2.2		2.2
31.0	Purchase of Vehicles			0			0			0
31.0	Purchase of Printing/Graphics Equipment			0			0			0
31.0	ADP Hardware purchases			0			0			0
31.0	ADP Software purchases			0			0	2.2		2.2
	Subtotal OC 31.0	0	0	0	0	0	0	39.6	0	39.6
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0	Purchase of Land & Buildings (& bldg. construction)			0			0			0
32.0	Purchase of fixed equipment for buildings			0			0			0
32.0	Building Renovations/Alterations - Office			0			0			0
32.0	Building Renovations/Alterations - Residential			0			0			0
	Subtotal OC 32.0	0	0	0	0	0	0	0.0	0	0
42.0	Claims and indemnities			0			0			0
	Subtotal OC 42.0	0	0	0	0	0	0	0.0	0	0
	TOTAL BUDGET	0	0	0	0	0	0	627.1	0	627.14

Additional Mandatory Information

	Dollars Used for Local Currency Purchases	.			.			.		
	Exchange Rate Used in Computations									
**	If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.									
	On that form, OE funded deposits must equal:			0			0			2.4

Org. Title:		RUDO/India	Overseas Mission Budgets								
Org. No:		24386	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC			Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1		Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1		Base Pay & pymt. for annual leave balances - FNDH			0			0			0
	Subtotal OC 11.1		0	0	0	0	0	0	0	0	0
11.3		Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3		Base Pay & pymt. for annual leave balances - FNDH			0			0			0
	Subtotal OC 11.3		0	0	0	0	0	0	0	0	0
11.5		Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5		USDH			0			0			0
11.5		FNDH			0			0			0
	Subtotal OC 11.5		0	0	0	0	0	0	0	0	0
11.8		Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8		USPSC Salaries			0			0			0
11.8		FN PSC Salaries			0			0	21.2		21.2
11.8		IPA/Details-In/PASAs/RSSAs Salaries			0			0			0
	Subtotal OC 11.8		0	0	0	0	0	0	21.2	0	21.2
12.1		Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1		USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1		Educational Allowances			0			0	52.8		52.8
12.1		Cost of Living Allowances			0			0			0
12.1		Home Service Transfer Allowances			0			0			0
12.1		Quarters Allowances			0			0			0
12.1		Other Misc. USDH Benefits			0			0			0
12.1		FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	**	Payments to FSN Voluntary Separation Fund - FNDH			0			0			0
12.1		Other FNDH Benefits			0			0			0
12.1		US PSC Benefits			0			0			0
12.1		FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	**	Payments to the FSN Voluntary Separation Fund - FN PSC			0			0			0
12.1		Other FN PSC Benefits			0			0			0
12.1		IPA/Detail-In/PASA/RSSA Benefits			0			0			0
	Subtotal OC 12.1		0	0	0	0	0	0	52.8	0	52.8

Org. Title:	RUDO/India	Overseas Mission Budgets								
Org. No:	24386	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
13.0	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH			0			0			0
13.0	Other Benefits for Former Personnel - FNDH			0			0			0
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs			0			0			0
13.0	Other Benefits for Former Personnel - FN PSCs			0			0			0
	Subtotal OC 13.0	0	0	0	0	0	0	0	0	0
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Training Travel			0			0	5		5
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Post Assignment Travel - to field			0			0			0
21.0	Assignment to Washington Travel			0			0			0
21.0	Home Leave Travel			0			0	15		15
21.0	R & R Travel			0			0	8		8
21.0	Education Travel			0			0	4		4
21.0	Evacuation Travel			0			0			0
21.0	Retirement Travel			0			0			0
21.0	Pre-Employment Invitational Travel			0			0			0
21.0	Other Mandatory/Statutory Travel			0			0	5		5
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Site Visits - Headquarters Personnel			0			0			0
21.0	Site Visits - Mission Personnel			0			0	45		45
21.0	Conferences/Seminars/Meetings/Retreats			0			0	15		15
21.0	Assessment Travel			0			0			0
21.0	Impact Evaluation Travel			0			0			0
21.0	Disaster Travel (to respond to specific disasters)			0			0			0
21.0	Recruitment Travel			0			0			0
21.0	Other Operational Travel			0			0			0
	Subtotal OC 21.0	0	0	0	0	0	0	97	0	97
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0	Post assignment freight			0			0			0
22.0	Home Leave Freight			0			0			0
22.0	Retirement Freight			0			0			0
22.0	Transportation/Freight for Office Furniture/Equip.			0			0			0

Org. Title:	RUDO/India	Overseas Mission Budgets								
Org. No:	24386	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
22.0	Transportation/Freight for Res. Furniture/Equip.			0			0			0
	Subtotal OC 22.0	0	0	0	0	0	0	0	0	0
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space			0			0			0
23.2	Rental Payments to Others - Warehouse Space			0			0			0
23.2	Rental Payments to Others - Residences			0			0	118.6		118.6
	Subtotal OC 23.2	0	0	0	0	0	0	118.6	0	118.6
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3	Office Utilities			0			0	10		10
23.3	Residential Utilities			0			0			0
23.3	Telephone Costs			0			0	5		5
23.3	ADP Software Leases			0			0			0
23.3	ADP Hardware Lease			0			0			0
23.3	Commercial Time Sharing			0			0			0
23.3	Postal Fees (Other than APO Mail)			0			0			0
23.3	Other Mail Service Costs			0			0			0
23.3	Courier Services			0			0			0
	Subtotal OC 23.3	0	0	0	0	0	0	15	0	15
24.0	Printing and Reproduction			0			0			0
	Subtotal OC 24.0	0	0	0	0	0	0	0	0	0
25.1	Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1	Studies, Analyses, & Evaluations			0			0			0
25.1	Management & Professional Support Services			0			0			0
25.1	Engineering & Technical Services			0			0			0
	Subtotal OC 25.1	0	0	0	0	0	0	0	0	0
25.2	Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2	Office Security Guards			0			0			0
25.2	Residential Security Guard Services			0			0	1.9		1.9
25.2	Official Residential Expenses			0			0			0
25.2	Representation Allowances			0			0			0
25.2	Non-Federal Audits			0			0			0

Org. Title:	RUDO/India	Overseas Mission Budgets								
Org. No:	24386	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
25.2	Grievances/Investigations			0			0			0
25.2	Insurance and Vehicle Registration Fees			0			0			0
25.2	Vehicle Rental			0			0			0
25.2	Manpower Contracts			0			0			0
25.2	Records Declassification & Other Records Services			0			0			0
25.2	Recruiting activities			0			0			0
25.2	Penalty Interest Payments			0			0			0
25.2	Other Miscellaneous Services			0			0	5		5
25.2	Staff training contracts			0			0			0
25.2	ADP related contracts			0			0			0
	Subtotal OC 25.2	0	0	0	0	0	0	6.9	0	6.9
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS			0			0	38		38
25.3	All Other Services from Other Gov't. accounts			0			0			0
	Subtotal OC 25.3	0	0	0	0	0	0	38	0	38
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance			0			0	2		2
25.4	Residential Building Maintenance			0			0			0
	Subtotal OC 25.4	0	0	0	0	0	0	2	0	2
25.6	Medical Care									
	Subtotal OC 25.6	0	0	0	0	0	0	0	0	0
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	ADP and telephone operation and maintenance costs			0			0			0
25.7	Storage Services			0			0			0
25.7	Office Furniture/Equip. Repair and Maintenance			0			0			0
25.7	Vehicle Repair and Maintenance			0			0			0
25.7	Residential Furniture/Equip. Repair and Maintenance			0			0			0
	Subtotal OC 25.7	0	0	0	0	0	0	0	0	0
25.8	Subsistance & spt. of persons (by contract or Gov't.)			0			0			0
	Subtotal OC 25.8	0	0	0	0	0	0	0	0	0

OPERATING EXPENSES

Org. Title:	RUDO/India	Overseas Mission Budgets								
Org. No:	24386	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
26.0	Supplies and materials			0			0	15		15
	Subtotal OC 26.0	0	0	0	0	0	0	15	0	15
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.			0			0	3.5		3.5
31.0	Purchase of Office Furniture/Equip.			0			0			0
31.0	Purchase of Vehicles			0			0			0
31.0	Purchase of Printing/Graphics Equipment			0			0			0
31.0	ADP Hardware purchases			0			0	10		10
31.0	ADP Software purchases			0			0			0
	Subtotal OC 31.0	0	0	0	0	0	0	13.5	0	13.5
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0	Purchase of Land & Buildings (& bldg. construction)			0			0			0
32.0	Purchase of fixed equipment for buildings			0			0			0
32.0	Building Renovations/Alterations - Office			0			0			0
32.0	Building Renovations/Alterations - Residential			0			0			0
	Subtotal OC 32.0	0	0	0	0	0	0	0	0	0
42.0	Claims and indemnities			0			0			0
	Subtotal OC 42.0	0	0	0	0	0	0	0	0	0
	TOTAL BUDGET	0	0	0	0	0	0	380	0	380

Additional Mandatory Information

	Dollars Used for Local Currency Purchases	.			.			.		
	Exchange Rate Used in Computations									
**	If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.									
	On that form, OE funded deposits must equal:			0			0			0

Org. Title:		RUDO/Indonesia	Overseas Mission Budgets								
Org. No:		24497	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC			Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1		Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1		Base Pay & pymt. for annual leave balances - FNDH			0			0			0
	Subtotal OC 11.1		0	0	0	0	0	0	0	0	0
11.3		Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3		Base Pay & pymt. for annual leave balances - FNDH			0			0			0
	Subtotal OC 11.3		0	0	0	0	0	0	0	0	0
11.5		Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5		USDH			0			0			0
11.5		FNDH			0			0			0
	Subtotal OC 11.5		0	0	0	0	0	0	0	0	0
11.8		Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8		USPSC Salaries			0			0			0
11.8		FN PSC Salaries			0	4.5		4.5	22.5		22.5
11.8		IPA/Details-In/PASAs/RSSAs Salaries			0			0			0
	Subtotal OC 11.8		0	0	0	4.5	0	4.5	22.5	0	22.5
12.1		Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1		USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1		Educational Allowances			0			0			0
12.1		Cost of Living Allowances			0	3		3	6		6
12.1		Home Service Transfer Allowances			0			0			0
12.1		Quarters Allowances			0			0			0
12.1		Other Misc. USDH Benefits			0			0			0
12.1		FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	**	Payments to FSN Voluntary Separation Fund - FNDH			0			0			0
12.1		Other FNDH Benefits			0			0			0
12.1		US PSC Benefits			0			0			0
12.1		FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	**	Payments to the FSN Voluntary Separation Fund - FN PSC			0			0			0
12.1		Other FN PSC Benefits			0	3.5		3.5	9		9
12.1		IPA/Detail-In/PASA/RSSA Benefits			0			0			0
	Subtotal OC 12.1		0	0	0	6.5	0	6.5	15	0	15

Org. Title:	RUDO/Indonesia	Overseas Mission Budgets								
Org. No:	24497	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
13.0	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH			0			0			0
13.0	Other Benefits for Former Personnel - FNDH			0			0			0
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs			0			0			0
13.0	Other Benefits for Former Personnel - FN PSCs			0			0			0
	Subtotal OC 13.0	0	0	0	0	0	0	0	0	0
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Training Travel			0	5.5		5.5	17.5		17.5
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Post Assignment Travel - to field			0			0			0
21.0	Assignment to Washington Travel			0			0			0
21.0	Home Leave Travel			0	3.5		3.5	3.5		3.5
21.0	R & R Travel			0			0	1.7		1.7
21.0	Education Travel			0			0			0
21.0	Evacuation Travel			0	8.0		8.0	16.0		16.0
21.0	Retirement Travel			0			0			0
21.0	Pre-Employment Invitational Travel			0			0			0
21.0	Other Mandatory/Statutory Travel			0			0			0
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Site Visits - Headquarters Personnel			0	0.8		0.8	3.3		3.3
21.0	Site Visits - Mission Personnel			0	7.5		7.5	18.0		18.0
21.0	Conferences/Seminars/Meetings/Retreats			0	3.0		3.0	7.5		7.5
21.0	Assessment Travel			0			0			0
21.0	Impact Evaluation Travel			0			0			0
21.0	Disaster Travel (to respond to specific disasters)			0			0			0
21.0	Recruitment Travel			0			0			0
21.0	Other Operational Travel			0	3.2		3.2	7.2		7.2
	Subtotal OC 21.0	0	0	0	31.5	0	31.5	74.7	0	74.7
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0	Post assignment freight			0			0			0
22.0	Home Leave Freight			0	1		1	1		1
22.0	Retirement Freight			0			0			0
22.0	Transportation/Freight for Office Furniture/Equip.			0			0			0

Org. Title:	RUDO/Indonesia	Overseas Mission Budgets								
Org. No:	24497	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
22.0	Transportation/Freight for Res. Furniture/Equip.			0			0			0
	Subtotal OC 22.0	0	0	0	1	0	1	1	0	1
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space			0			0			0
23.2	Rental Payments to Others - Warehouse Space			0			0			0
23.2	Rental Payments to Others - Residences			0	25		25	50		50
	Subtotal OC 23.2	0	0	0	25	0	25	50	0	50
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3	Office Utilities			0	2		2	5		5
23.3	Residential Utilities			0	5		5	10		10
23.3	Telephone Costs			0			0			0
23.3	ADP Software Leases			0			0			0
23.3	ADP Hardware Lease			0			0			0
23.3	Commercial Time Sharing			0			0			0
23.3	Postal Fees (Other than APO Mail)			0			0			0
23.3	Other Mail Service Costs			0			0			0
23.3	Courier Services			0			0			0
	Subtotal OC 23.3	0	0	0	7	0	7	15	0	15
24.0	Printing and Reproduction			0			0			0
	Subtotal OC 24.0	0	0	0	0	0	0	0	0	0
25.1	Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1	Studies, Analyses, & Evaluations			0			0			0
25.1	Management & Professional Support Services			0			0			0
25.1	Engineering & Technical Services			0			0			0
	Subtotal OC 25.1	0	0	0	0	0	0	0	0	0
25.2	Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2	Office Security Guards			0			0			0
25.2	Residential Security Guard Services			0			0			0
25.2	Official Residential Expenses			0			0			0
25.2	Representation Allowances			0			0			0
25.2	Non-Federal Audits			0			0			0

Org. Title:	RUDO/Indonesia	Overseas Mission Budgets								
Org. No:	24497	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
25.2	Grievances/Investigations			0			0			0
25.2	Insurance and Vehicle Registration Fees			0			0			0
25.2	Vehicle Rental			0			0			0
25.2	Manpower Contracts			0			0			0
25.2	Records Declassification & Other Records Services			0			0			0
25.2	Recruiting activities			0			0			0
25.2	Penalty Interest Payments			0			0			0
25.2	Other Miscellaneous Services			0	8		8	16.5		16.5
25.2	Staff training contracts			0			0			0
25.2	ADP related contracts			0			0			0
	Subtotal OC 25.2	0	0	0	8	0	8	16.5	0	16.5
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS			0	17.5		17.5	35		35
25.3	All Other Services from Other Gov't. accounts			0			0			0
	Subtotal OC 25.3	0	0	0	17.5	0	17.5	35	0	35
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance			0	1.5		1.5	3		3
25.4	Residential Building Maintenance			0	2.5		2.5	5		5
	Subtotal OC 25.4	0	0	0	4	0	4	8	0	8
25.6	Medical Care									
	Subtotal OC 25.6	0	0	0	0	0	0	0	0	0
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	ADP and telephone operation and maintenance costs			0			0			0
25.7	Storage Services			0			0			0
25.7	Office Furniture/Equip. Repair and Maintenance			0			0			0
25.7	Vehicle Repair and Maintenance			0			0			0
25.7	Residential Furniture/Equip. Repair and Maintenance			0			0			0
	Subtotal OC 25.7	0	0	0	0	0	0	0	0	0
25.8	Subsistance & spt. of persons (by contract or Gov't.)			0			0			0
	Subtotal OC 25.8	0	0	0	0	0	0	0	0	0

OPERATING EXPENSES

Org. Title:	RUDO/Indonesia	Overseas Mission Budgets								
Org. No:	24497	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
26.0	Supplies and materials			0			0	3		3
	Subtotal OC 26.0	0	0	0	0	0	0	3	0	3
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.			0	1		1	3		3
31.0	Purchase of Office Furniture/Equip.			0	1		1	4.5		4.5
31.0	Purchase of Vehicles			0			0			0
31.0	Purchase of Printing/Graphics Equipment			0			0			0
31.0	ADP Hardware purchases			0	1		1	9		9
31.0	ADP Software purchases			0	0.5		0.5	1.3		1.3
	Subtotal OC 31.0	0	0	0	3.5	0	3.5	17.8	0	17.8
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0	Purchase of Land & Buildings (& bldg. construction)			0			0			0
32.0	Purchase of fixed equipment for buildings			0			0			0
32.0	Building Renovations/Alterations - Office			0			0			0
32.0	Building Renovations/Alterations - Residential			0			0			0
	Subtotal OC 32.0	0	0	0	0	0	0	0	0	0
42.0	Claims and indemnities			0			0			0
	Subtotal OC 42.0	0	0	0	0	0	0	0	0	0
	TOTAL BUDGET	0	0	0	108.5	0	108.5	258.5	0	258.5

Additional Mandatory Information

	Dollars Used for Local Currency Purchases	.			.			.		
	Exchange Rate Used in Computations									
**	If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.									
	On that form, OE funded deposits must equal:			0			0			0

Org. Title:		RUDO/Morocco	Overseas Mission Budgets								
Org. No:		24608	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC			Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1		Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1		Base Pay & pymt. for annual leave balances - FNDH			0			0			0
	Subtotal OC 11.1		0	0	0	0	0	0	0	0	0
11.3		Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3		Base Pay & pymt. for annual leave balances - FNDH			0			0			0
	Subtotal OC 11.3		0	0	0	0	0	0	0	0	0
11.5		Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5		USDH			0			0			0
11.5		FNDH			0			0			0
	Subtotal OC 11.5		0	0	0	0	0	0	0	0	0
11.8		Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8		USPSC Salaries			0			0			0
11.8		FN PSC Salaries			0	14.7		14.7	15.4		15.4
11.8		IPA/Details-In/PASAs/RSSAs Salaries			0			0			0
	Subtotal OC 11.8		0	0	0	14.7	0	14.7	15.4	0	15.4
12.1		Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1		USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1		Educational Allowances			0	27.0		27			0
12.1		Cost of Living Allowances			0			0			0
12.1		Home Service Transfer Allowances			0			0			0
12.1		Quarters Allowances			0			0			0
12.1		Other Misc. USDH Benefits			0	0.7		0.7			0
12.1		FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	**	Payments to FSN Voluntary Separation Fund - FNDH			0			0			0
12.1		Other FNDH Benefits			0			0			0
12.1		US PSC Benefits			0			0			0
12.1		FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	**	Payments to the FSN Voluntary Separation Fund - FN PSC			0			0			0
12.1		Other FN PSC Benefits			0	10.0		10	10.5		10.5
12.1		IPA/Detail-In/PASA/RSSA Benefits			0			0			0
	Subtotal OC 12.1		0	0	0	37.7	0	37.7	10.5	0	10.5

Org. Title:	RUDO/Morocco	Overseas Mission Budgets								
Org. No:	24608	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
13.0	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH			0			0			0
13.0	Other Benefits for Former Personnel - FNDH			0			0			0
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs			0			0			0
13.0	Other Benefits for Former Personnel - FN PSCs			0			0			0
	Subtotal OC 13.0	0	0	0	0	0	0	0	0	0
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Training Travel			0	8		8	8		8
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Post Assignment Travel - to field			0	6.7		6.7			0
21.0	Assignment to Washington Travel			0			0			0
21.0	Home Leave Travel			0	4.5		4.5			0
21.0	R & R Travel			0			0	6		6
21.0	Education Travel			0			0			0
21.0	Evacuation Travel			0	2.7		2.7	2.7		2.7
21.0	Retirement Travel			0			0			0
21.0	Pre-Employment Invitational Travel			0			0			0
21.0	Other Mandatory/Statutory Travel			0			0			0
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Site Visits - Headquarters Personnel			0			0			0
21.0	Site Visits - Mission Personnel			0	5		5	5		5
21.0	Conferences/Seminars/Meetings/Retreats			0	6.3		6.3	6.3		6.3
21.0	Assessment Travel			0			0			0
21.0	Impact Evaluation Travel			0			0			0
21.0	Disaster Travel (to respond to specific disasters)			0			0			0
21.0	Recruitment Travel			0			0			0
21.0	Other Operational Travel			0	2		2	2		2
	Subtotal OC 21.0	0	0	0	35.2	0	35.2	30	0	30
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0	Post assignment freight			0	21		21	0		0
22.0	Home Leave Freight			0	3.7		3.7	0		0
22.0	Retirement Freight			0			0			0
22.0	Transportation/Freight for Office Furniture/Equip.			0			0			0

Org. Title:	RUDO/Morocco	Overseas Mission Budgets								
Org. No:	24608	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
22.0	Transportation/Freight for Res. Furniture/Equip.			0	0.4		0.4	0.4		0.4
	Subtotal OC 22.0	0	0	0	25.1	0	25.1	0.4	0	0.4
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space			0	7.5		7.5	7.5		7.5
23.2	Rental Payments to Others - Warehouse Space			0	1.6		1.6	1.6		1.6
23.2	Rental Payments to Others - Residences			0	16		16	16		16
	Subtotal OC 23.2	0	0	0	25.1	0	25.1	25.1	0	25.1
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3	Office Utilities			0	3		3	3.2		3.15
23.3	Residential Utilities			0	9.7		9.7	10.2		10.2
23.3	Telephone Costs			0	4.2		4.2	4.4		4.4
23.3	ADP Software Leases			0			0			0
23.3	ADP Hardware Lease			0			0			0
23.3	Commercial Time Sharing			0			0			0
23.3	Postal Fees (Other than APO Mail)			0			0			0
23.3	Other Mail Service Costs			0	0.6		0.6	0.6		0.6
23.3	Courier Services			0			0			0
	Subtotal OC 23.3	0	0	0	17.5	0	17.5	18.35	0	18.35
24.0	Printing and Reproduction			0	1		1	1		1
	Subtotal OC 24.0	0	0	0	1	0	1	1	0	1
25.1	Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1	Studies, Analyses, & Evaluations			0			0			0
25.1	Management & Professional Support Services			0	1		1	1		1
25.1	Engineering & Technical Services			0			0			0
	Subtotal OC 25.1	0	0	0	1	0	1	1	0	1
25.2	Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2	Office Security Guards			0	3		3	3		3
25.2	Residential Security Guard Services			0	3		3	3		3
25.2	Official Residential Expenses			0			0			0
25.2	Representation Allowances			0			0			0
25.2	Non-Federal Audits			0			0			0

Org. Title:	RUDO/Morocco	Overseas Mission Budgets								
Org. No:	24608	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
25.2	Grievances/Investigations			0			0			0
25.2	Insurance and Vehicle Registration Fees			0	0.3		0.3	0.3		0.3
25.2	Vehicle Rental			0			0			0
25.2	Manpower Contracts			0			0			0
25.2	Records Declassification & Other Records Services			0			0			0
25.2	Recruiting activities			0			0			0
25.2	Penalty Interest Payments			0			0			0
25.2	Other Miscellaneous Services			0	21.3		21.3	21.3		21.3
25.2	Staff training contracts			0			0			0
25.2	ADP related contracts			0			0			0
	Subtotal OC 25.2	0	0	0	27.6	0	27.6	27.6	0	27.6
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS			0	14		14	15		15
25.3	All Other Services from Other Gov't. accounts			0			0			0
	Subtotal OC 25.3	0	0	0	14	0	14	15	0	15
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance			0	2.6		2.6	2.7		2.7
25.4	Residential Building Maintenance			0	4.8		4.8	5		5
	Subtotal OC 25.4	0	0	0	7.4	0	7.4	7.7	0	7.7
25.6	Medical Care									
	Subtotal OC 25.6	0	0	0	0	0	0	0	0	0
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	ADP and telephone operation and maintenance costs			0	2.6		2.6	2.7		2.7
25.7	Storage Services			0			0			0
25.7	Office Furniture/Equip. Repair and Maintenance			0	0.7		0.7	0.7		0.7
25.7	Vehicle Repair and Maintenance			0	0.2		0.2	0.2		0.2
25.7	Residential Furniture/Equip. Repair and Maintenance			0	0.5		0.5	0.5		0.5
	Subtotal OC 25.7	0	0	0	4	0	4	4.1	0	4.1
25.8	Subsistance & spt. of persons (by contract or Gov't.)			0			0			0
	Subtotal OC 25.8	0	0	0	0	0	0	0	0	0

OPERATING EXPENSES

Org. Title:	RUDO/Morocco	Overseas Mission Budgets								
Org. No:	24608	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
26.0	Supplies and materials			0	2.1		2.1	2.1		2.1
	Subtotal OC 26.0	0	0	0	2.1	0	2.1	2.1	0	2.1
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.			0	1		1	0		0
31.0	Purchase of Office Furniture/Equip.			0			0	1		1
31.0	Purchase of Vehicles			0			0			0
31.0	Purchase of Printing/Graphics Equipment			0			0			0
31.0	ADP Hardware purchases			0			0			0
31.0	ADP Software purchases			0			0			0
	Subtotal OC 31.0	0	0	0	1	0	1	1	0	1
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0	Purchase of Land & Buildings (& bldg. construction)			0			0			0
32.0	Purchase of fixed equipment for buildings			0			0			0
32.0	Building Renovations/Alterations - Office			0			0			0
32.0	Building Renovations/Alterations - Residential			0			0			0
	Subtotal OC 32.0	0	0	0	0	0	0	0	0	0
42.0	Claims and indemnities			0			0			0
	Subtotal OC 42.0	0	0	0	0	0	0	0	0	0
	TOTAL BUDGET	0	0	0	213.4	0	213.4	159.3	0	159.3

Additional Mandatory Information

	Dollars Used for Local Currency Purchases	.			.			.		
	Exchange Rate Used in Computations									

****** If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.

On that form, OE funded deposits must equal:	0	0	0

Org. Title:		RUDO/South Africa	Overseas Mission Budgets								
Org. No:		24674	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC			Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1		Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1		Base Pay & pymt. for annual leave balances - FNDH	0		0			0			0
	Subtotal OC 11.1		0	0	0		0	0	0	0	0
11.3		Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3		Base Pay & pymt. for annual leave balances - FNDH	0		0			0			0
	Subtotal OC 11.3		0	0	0		0	0	0	0	0
11.5		Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5		USDH			0			0			0
11.5		FNDH			0			0			0
	Subtotal OC 11.5		0	0	0	0	0	0	0	0	0
11.8		Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8		USPSC Salaries			0			0			0
11.8		FN PSC Salaries			0			0	30		30
11.8		IPA/Details-In/PASAs/RSSAs Salaries			0			0			0
	Subtotal OC 11.8		0	0	0	0	0	0	30	0	30
12.1		Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1		USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1		Educational Allowances			0	30		30	70		70
12.1		Cost of Living Allowances			0			0			0
12.1		Home Service Transfer Allowances			0			0			0
12.1		Quarters Allowances			0			0			0
12.1		Other Misc. USDH Benefits			0	2		2	5		5
12.1		FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	**	Payments to FSN Voluntary Separation Fund - FNDH			0			0			0
12.1		Other FNDH Benefits			0			0			0
12.1		US PSC Benefits			0			0			0
12.1		FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	**	Payments to the FSN Voluntary Separation Fund - FN PS			0			0			0
12.1		Other FN PSC Benefits			0			0			0
12.1		IPA/Detail-In/PASA/RSSA Benefits			0			0			0
	Subtotal OC 12.1		0	0	0	32	0	32	75	0	75

Org. Title:	RUDO/South Africa	Overseas Mission Budgets								
Org. No:	24674	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
13.0	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH			0			0			0
13.0	Other Benefits for Former Personnel - FNDH			0			0			0
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs			0			0			0
13.0	Other Benefits for Former Personnel - FN PSCs			0			0			0
	Subtotal OC 13.0	0	0	0	0	0	0	0	0	0
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Training Travel			0			0			0
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Post Assignment Travel - to field			0	15		15			0
21.0	Assignment to Washington Travel			0			0			0
21.0	Home Leave Travel			0			0			0
21.0	R & R Travel			0	3		3	18		18
21.0	Education Travel			0			0			0
21.0	Evacuation Travel			0			0			0
21.0	Retirement Travel			0			0			0
21.0	Pre-Employment Invitational Travel			0			0			0
21.0	Other Mandatory/Statutory Travel			0			0	5		5
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Site Visits - Headquarters Personnel			0			0	63		63
21.0	Site Visits - Mission Personnel			0	10		10	5		5
21.0	Conferences/Seminars/Meetings/Retreats			0			0			0
21.0	Assessment Travel			0			0			0
21.0	Impact Evaluation Travel			0			0			0
21.0	Disaster Travel (to respond to specific disasters)			0			0			0
21.0	Recruitment Travel			0			0			0
21.0	Other Operational Travel			0			0			0
	Subtotal OC 21.0	0	0	0	28	0	28	91	0	91
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0	Post assignment freight			0	10		10			0
22.0	Home Leave Freight			0			0			0
22.0	Retirement Freight			0			0			0
22.0	Transportation/Freight for Office Furniture/Equip.			0			0			0

Org. Title:	RUDO/South Africa	Overseas Mission Budgets								
Org. No:	24674	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
22.0	Transportation/Freight for Res. Furniture/Equip.			0			0			0
	Subtotal OC 22.0	0	0	0	10	0	10	0	0	0
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space			0			0			0
23.2	Rental Payments to Others - Warehouse Space			0			0			0
23.2	Rental Payments to Others - Residences			0	13		13	35		35
	Subtotal OC 23.2	0	0	0	13	0	13	35	0	35
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3	Office Utilities			0			0			0
23.3	Residential Utilities			0	2		2	7		7
23.3	Telephone Costs			0			0	7		7
23.3	ADP Software Leases			0			0			0
23.3	ADP Hardware Lease			0			0			0
23.3	Commercial Time Sharing			0			0			0
23.3	Postal Fees (Other than APO Mail)			0	1		1	3		3
23.3	Other Mail Service Costs			0			0			0
23.3	Courier Services			0			0			0
	Subtotal OC 23.3	0	0	0	3	0	3	17	0	17
24.0	Printing and Reproduction	0		0			0	1		1
	Subtotal OC 24.0	0	0	0	0	0	0	1	0	1
25.1	Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1	Studies, Analyses, & Evaluations			0			0			0
25.1	Management & Professional Support Services			0			0			0
25.1	Engineering & Technical Services			0			0			0
	Subtotal OC 25.1	0	0	0	0	0	0	0	0	0
25.2	Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2	Office Security Guards			0			0			0
25.2	Residential Security Guard Services			0			0			0
25.2	Official Residential Expenses			0			0			0
25.2	Representation Allowances			0			0			0
25.2	Non-Federal Audits			0			0			0

Org. Title:	RUDO/South Africa	Overseas Mission Budgets								
Org. No:	24674	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
25.2	Grievances/Investigations			0			0			0
25.2	Insurance and Vehicle Registration Fees			0			0			0
25.2	Vehicle Rental			0			0			0
25.2	Manpower Contracts			0			0			0
25.2	Records Declassification & Other Records Services			0			0			0
25.2	Recruiting activities			0			0			0
25.2	Penalty Interest Payments			0			0			0
25.2	Other Miscellaneous Services			0			0	3		3
25.2	Staff training contracts			0			0			0
25.2	ADP related contracts			0			0			0
	Subtotal OC 25.2	0	0	0	0	0	0	3	0	3
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS			0			0	22		22
25.3	All Other Services from Other Gov't. accounts			0			0			0
	Subtotal OC 25.3	0	0	0	0	0	0	22	0	22
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance			0			0	1		1
25.4	Residential Building Maintenance			0	1		1	3		3
	Subtotal OC 25.4	0	0	0	1	0	1	4	0	4
25.6	Medical Care							5		
	Subtotal OC 25.6	0	0	0	0	0	0	5	0	5
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	ADP and telephone operation and maintenance costs			0			0			0
25.7	Storage Services			0			0			0
25.7	Office Furniture/Equip. Repair and Maintenance			0			0	3		3
25.7	Vehicle Repair and Maintenance			0			0			0
25.7	Residential Furniture/Equip. Repair and Maintenance			0	3		3	3		3
	Subtotal OC 25.7	0	0	0	3	0	3	6	0	6
25.8	Subsistance & spt. of persons (by contract or Gov't.)			0			0			0
	Subtotal OC 25.8		0	0	0	0	0	0	0	0

OPERATING EXPENSES

Org. Title:	RUDO/South Africa	Overseas Mission Budgets								
Org. No:	24674	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
26.0	Supplies and materials			0			0	8		8
	Subtotal OC 26.0		0	0	0	0	0	8	0	8
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.			0	3		3	5		5
31.0	Purchase of Office Furniture/Equip.			0			0	3		3
31.0	Purchase of Vehicles			0			0			0
31.0	Purchase of Printing/Graphics Equipment			0			0			0
31.0	ADP Hardware purchases			0			0	5		5
31.0	ADP Software purchases			0			0	5		5
	Subtotal OC 31.0	0	0	0	3	0	3	18	0	18
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0	Purchase of Land & Buildings (& bldg. construction)			0			0			0
32.0	Purchase of fixed equipment for buildings			0			0			0
32.0	Building Renovations/Alterations - Office			0			0			0
32.0	Building Renovations/Alterations - Residential			0	2		2	2		2
	Subtotal OC 32.0	0	0	0	2	0	2	2	0	2
42.0	Claims and indemnities	0		0			0			0
	Subtotal OC 42.0	0	0	0	0	0	0	0	0	0
	TOTAL BUDGET	0	0	0	95	0	95	312	0	312

Additional Mandatory Information

	Dollars Used for Local Currency Purchases	.			.			.		
	Exchange Rate Used in Computations									
**	If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.									
	On that form, OE funded deposits must equal:			0			0			0

G/ENV End of year On-Board **FY 2000 Estimate**	SO 1	SO 2	SO 3	SpO1	Total SO/SpO	Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con-tract	Legal	All Other	Total Mgmt.	Total Staff
OE Funded: 1/													
U.S. Direct Hire	7	1	6		14	2		5			5	12	26
AE Funded: 2/													
DH - UE (AID/W) **3/**		9			9							0	9
DH - UE (RUDOS)		11			11							0	11
TFCA Funded:													
DH - TFCA	1				1							0	1
Subtotal	8	21	6	0	35	2	0	5	0	0	5	12	47
Program Funded 1/													
U.S. Citizens	11	3	11	4	29						5	5	34
Subtotal	11	3	11	4	29	0	0	0	0	0	5	5	34
Total Direct Workforce	19	24	17	4	64	2	0	5	0	0	10	17	81
Fellows	3			1	4							0	4
Subtotal	3	0	0	1	4	0	0	0	0	0	0	0	4
TOTAL WORKFORCE	22	24	17	5	68	2	0	5	0	0	10	17	85

G/ENV End of year On-Board **FY 2001 Request**	SO 1	SO 2	SO 3	SpO1	Total SO/SpO	Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con-tract	Legal	All Other	Total Mgmt.	Total Staff
OE Funded: 1/													
U.S. Direct Hire	7	8	6		21	2		5			5	12	33
DH - OE (RUDOS)		4			4							0	4
AE Funded: 2/													
DH - UE (AID/W) **3/**		2			2							0	2
DH - UE (RUDOS)		7			7							0	7
TFCA Funded:													
DH- TFCA	2				2							0	2
Subtotal	9	21	6	0	36	2	0	5	0	0	5	12	48
Program Funded 1/													
U.S. Citizens	13	3	11	4	31						5	5	36
Subtotal	13	3	11	4	31	0	0	0	0	0	5	5	36
Total Direct Workforce	22	24	17	4	67	2	0	5	0	0	10	17	84
Fellows	3			1	4							0	4
Subtotal	3	0	0	1	4	0	0	0	0	0	0	0	4
TOTAL WORKFORCE	25	24	17	5	71	2	0	5	0	0	10	17	88

G/ENV End of year On-Board **FY 2002 Request**	SO 1	SO 2	SO 3	SpO1	Total SO/SpO Staff	Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con-tract	Legal	All Other	Total Mgmt.	Total Staff
OE Funded: 1/													
U.S. Direct Hire **2/**	7	10	6		23	2		5			5	12	35
DH - OE (RUDOS)		11			11							0	11
TFCA Funded:													
DH- TFCA	2				2							0	2
Subtotal	9	21	6	0	36	2	0	5	0	0	5	12	48
Program Funded 1/													
U.S. Citizens	13	3	11	4	31						5	5	36
Subtotal	13	3	11	4	31	0	0	0	0	0	5	5	36
Total Direct Workforce	22	24	17	4	67	2	0	5	0	0	10	17	84
Fellows	3			1	4							0	4
Subtotal	3	0	0	1	4	0	0	0	0	0	0	0	4
TOTAL WORKFORCE	25	24	17	5	71	2	0	5	0	0	10	17	88

Mission:

Functional Backstop (BS)	Number of USDH Employees in Backstop in: FY 2000	FY 2001	FY 2002	FY 2003
Senior Management				
SMG - 01	2	2	2	2
Program Management				
Program Mgt - 02	5	5	5	5
Project Dvpm Officer - 94				
Support Management				
EXO - 03				
Controller - 04				
Legal - 85				
Commodity Mgt. - 92				
Contract Mgt. - 93				
Secretary - 05 & 07	1	1	1	1
Sector Management				
Agriculture - 10 & 14				
Economics - 11				
Democracy - 12				
Food for Peace - 15				
Private Enterprise - 21				
Engineering - 25				
Environment - 40 & 75	39	40	40	40
Health/Pop. - 50				
Education - 60				
General Dvpm. - 12*****				
RUDO, UE-funded - 40				

Total	47	48	48	48

***GDO - 12**: for the rare case where an officer manages activities in several technical areas, none of which predominate, e.g., the officer manages Democracy, Health, and Environment activities that are about equal. An officer who manages primarily Health activities with some Democracy and Environment activities would be a Health Officer, BS 50.

remaining **IDIs**: list under the Functional Backstop for the work they do.

Please e-mail this worksheet in Excel to: Maribeth Zankowski@HR.PPIM@aidw as well as include it with your R4 submission.

GLOBAL BUREAU ENVIRONMENT CENTER

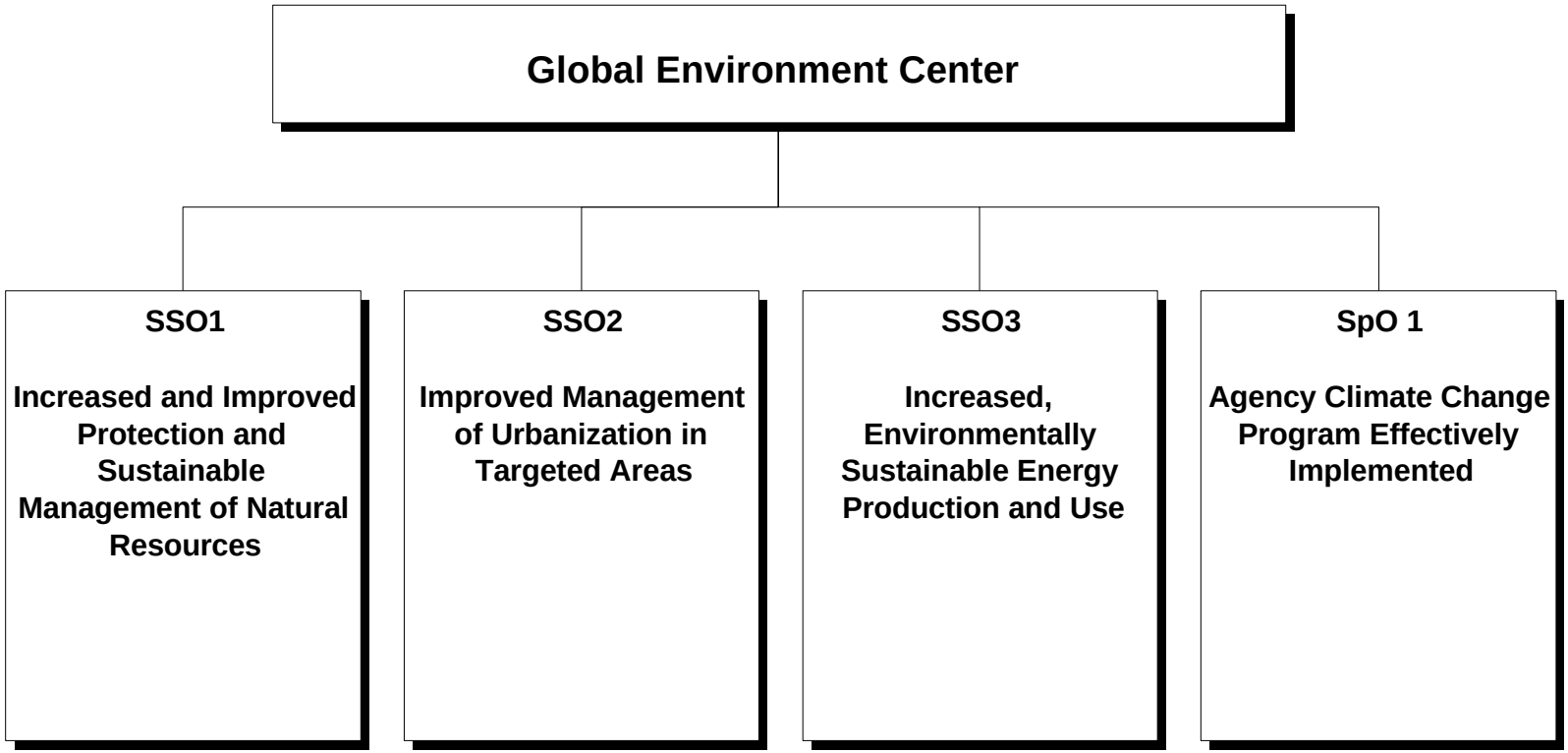
FY 2002

RESULTS REVIEW

ANNEX A: RESULTS FRAMEWORKS

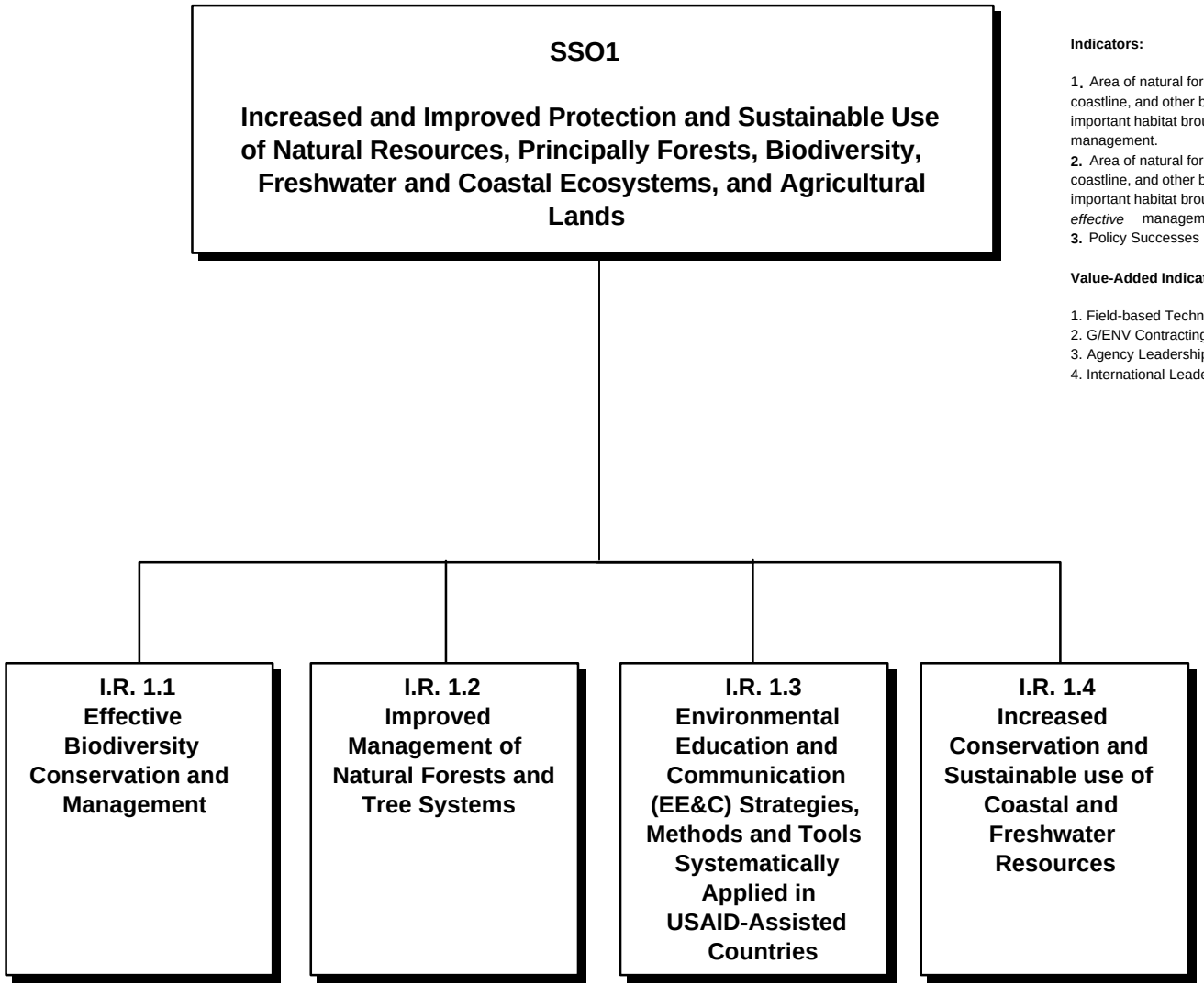
April 3, 2000

Global Environment Center Results Framework



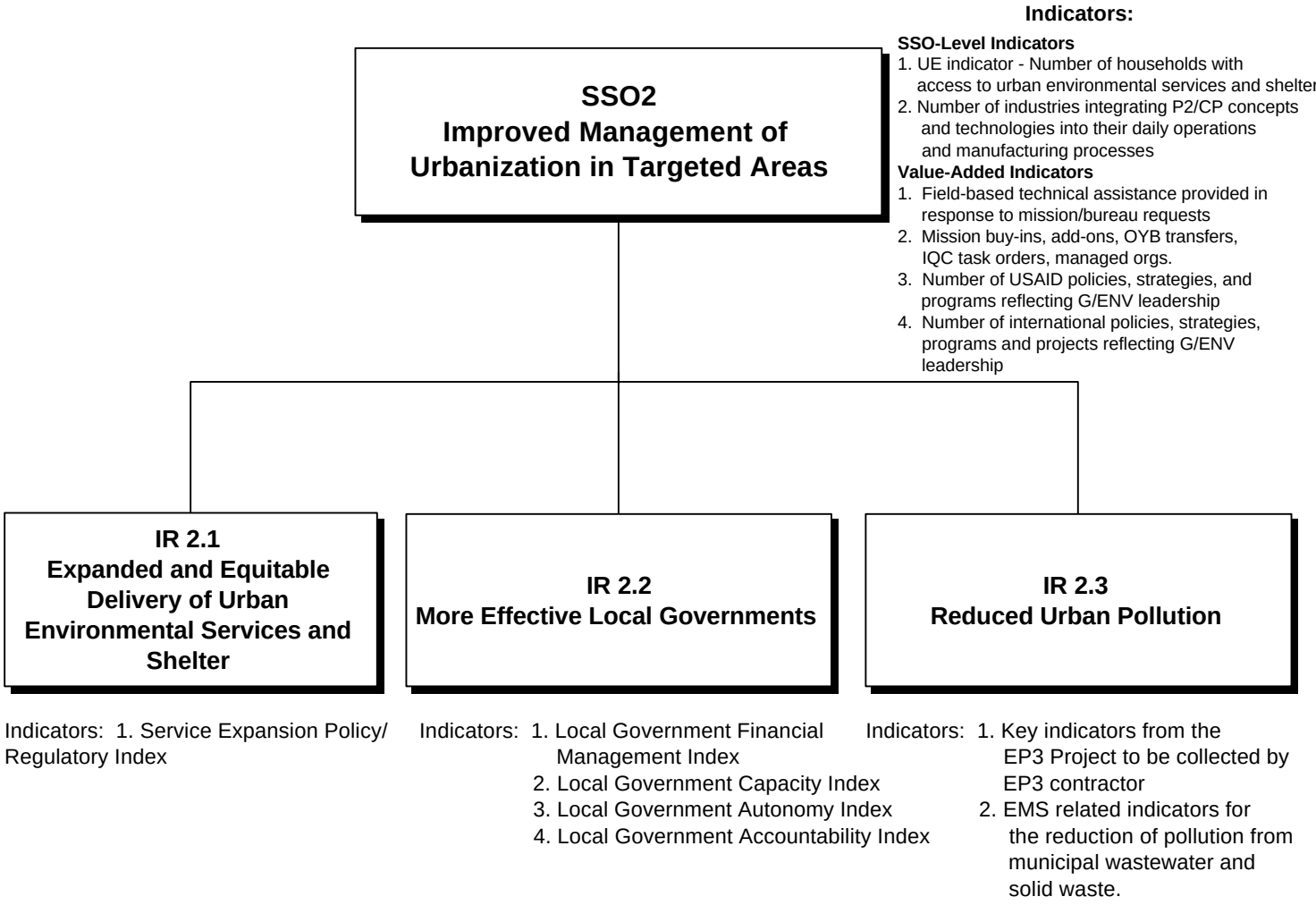
Please refer to Annex D for IR-level details.

SSO1 Results Framework



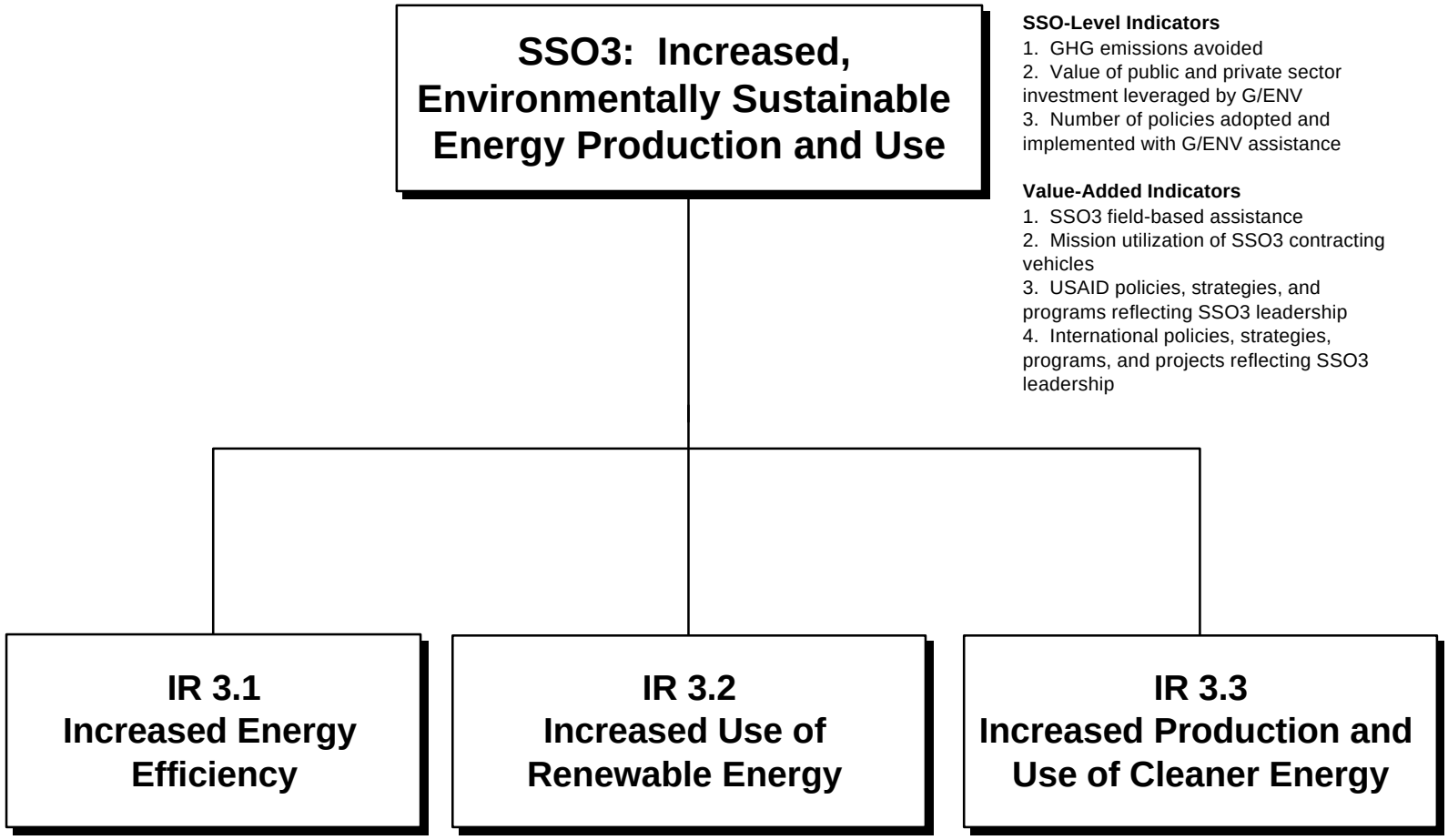
Please refer to Annex D for IR-level details.

SSO2 Results Framework



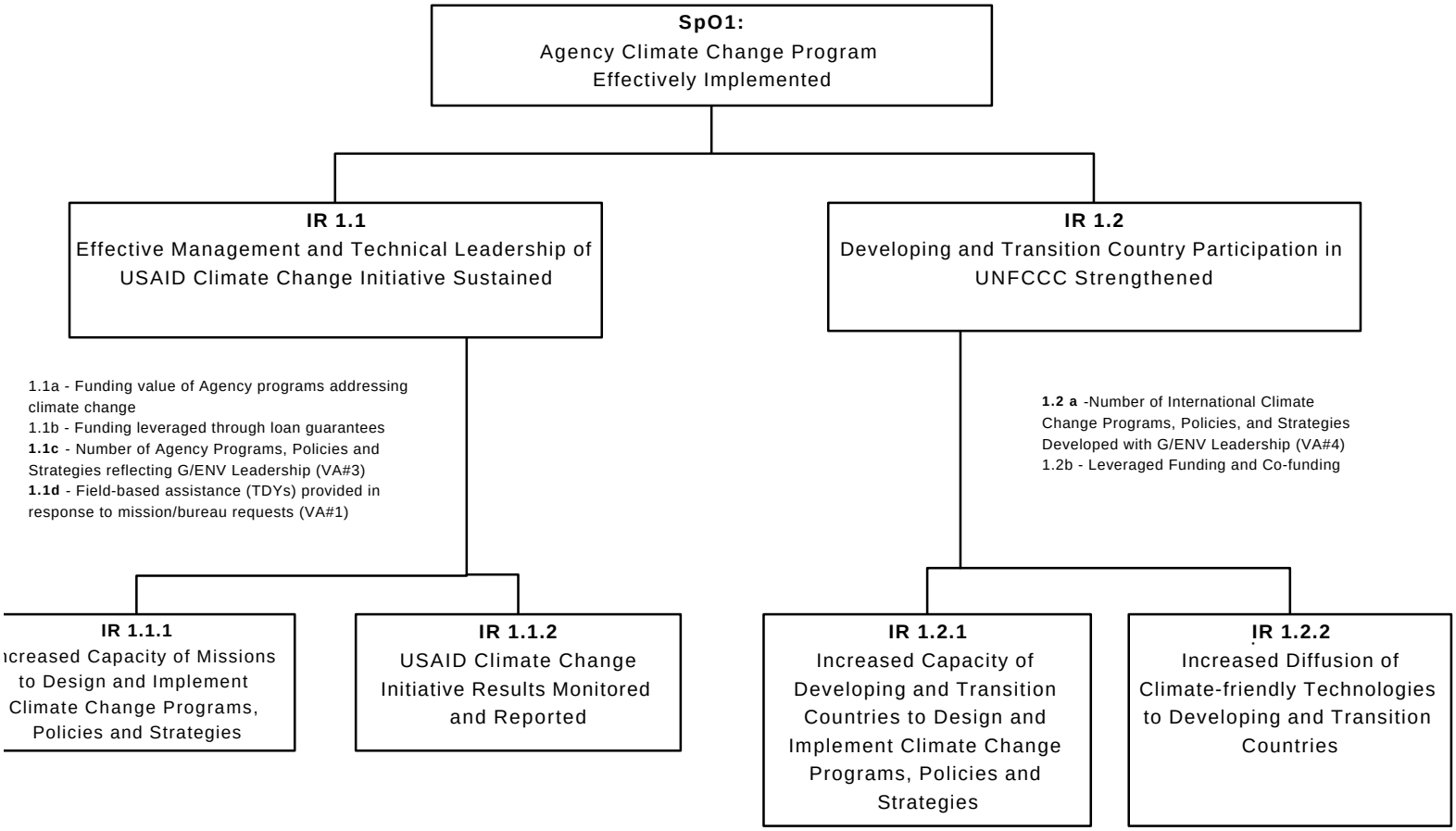
Please refer to Annex D for IR-level details.

SSO3 Results Framework



Please refer to Annex D for IR-level details.

SpO1 Results Framework



GLOBAL BUREAU ENVIRONMENT CENTER

FY 2002

RESULTS REVIEW

ANNEX B: ENVIRONMENTAL COMPLIANCE

April 3, 2000

G/ENV Environmental Compliance

USAID's environmental review procedures are mandated by statute, Federal Regulation, and Executive Order. Environmental review procedures, according to USAID policy, are basic to the design of any program, activity, or amendment, and, when needed, require appropriate mitigative measures or activity redesign to ensure environmental stability. USAID follows environmental procedures as outlined in 22 CFR 216, dated October 9, 1980.

Responsibilities for meeting the requirements and objectives of the Agency's environmental procedures are similar to those for other USAID Bureaus in that Operating Unit Directors and/or designated representatives must clear and sign Initial Environmental Examinations (IEEs) and, if necessary, Scoping Statements, and Environmental Assessments (EAs). Furthermore, each Strategic Objective team is responsible for compliance with all requirements of 22 CFR Part 216 as a fundamental element in its approaches and internal procedures for achieving its strategic objective. Intermediate Results teams, which often have the primary responsibility for activity compliance, must (1) ensure that adequate time is allowed during the design process to conduct all environmental studies/evaluations required under 22 CFR Part 216, (2) allow for public participation and comment when a positive determination has been made (which entails an EA and the development of a Scoping Statement), (3) provide each document to the Global Bureau Environmental Officer (BEO) for review and clearance, and (4) allow for incorporation of final decisions into final designs. Finally, each program, activity, or amendment must be monitored and evaluated for compliance with 22 CFR Part 216.

SSO1

Each of the IR teams has an approved Initial Environmental Assessment, which describes planned activities, identifies expected environmental impacts, and, as appropriate, outlines actions to monitor and mitigate potential adverse environmental impacts. The Global BEO approved both Categorical Exclusions and some Negative Determinations with and without conditions, per 22 CFR Part 216, for the four IR teams under this SSO.

SSO2

During FY 000, G/ENV/UP undertook a comprehensive review of all proposed activities to be program funded (both in AID/W and by all field units (RUDOs). This initiative is being coordinated with the G/ENV Bureau Environment Officer and is in its final stage of completion. Pursuant to USAID authority under 22 CFR 216, ENVIRONMENTAL PROCEDURES, it is anticipated that the IEE's recommendation for a categorical exclusion/negative determination will be approved since the proposed actions or uses of these funds will be for technical assistance, training, analyses, studies, information transfers, contributions to international organizations, etc. Any resources received from bilateral USAID missions and applied to activities directly managed by our Regional Urban Development Offices located overseas will be reviewed for their environmental implications in coordination with each Mission's environmental officer and their regional bureau environment officer to ensure the spirit and purpose of the 216 regulation is carried out.

SSO3

In FY99 three IEEs were conducted by an independent firm on incrementally funded programs managed by the SSO3 team. Categorical exclusions were granted to interagency agreements with the U.S. Department of Energy's National Renewable Energy and the U.S. Department of Energy's Lawrence Berkeley Laboratory. A categorical exclusion with a single negative determination was issued for the interagency agreement with the U.S Department of Energy's Sandia National Laboratory. The negative determination recommendation was issued due to proposed field-testing of technology. This recommendation was in keeping with USAID's Environmental Procedures (22 CFR Part 216) which calls for a Negative Determination when the overall actions undertaken by a unit in the Agency will not have a significant effect on the environment. If, during the course of an activity conducted by the SSO3 team, any significant effect on the environment is anticipated, then the responsible manager is required to take proper and effective mitigation steps to minimize or eliminate environmental disturbances, and a prepare and carry-out a monitoring and evaluation plan.

GLOBAL BUREAU ENVIRONMENT CENTER

FY 2002

RESULTS REVIEW

ANNEX C: GLOBAL CLIMATE CHANGE

April 3, 2000

SSO1: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands

CCI Result 2 – Reduced Greenhouse Gas Emissions from Land Use, Forestry Activities

Indicators 1 & 2 – Land Use/Forest Management Activities

The Global Environment Center's SSO1 contributes significantly to the reduction of greenhouse gas emissions through carbon sequestration in forests. In FY 1999, the achievement of "effective management" in community forests and several large protected areas resulted in a total of 113,805 hectares of forest. Approximately half of this total, 59,803 hectares, is seasonal dry forest in central Mexico. The remaining land area is tropical evergreen (moist) forest in Indonesia. Seventy-six percent of this land is closed-canopy primary forest.

In order to give the most accurate representation of hectares of forest sequestering carbon, we used the standard of "effective" management, which offers more assurance that these hectares will remain forested in years to come. Under indicator definitions for SSO1, effective management is a higher standard than "improved" management and means that a series of site management benchmarks have been achieved and that there is evidence of improved habitat quality. There must also be evidence that the organization responsible for managing the site (for example, a local indigenous community or park staff) can respond to threats and opportunities, that is, demonstrate adaptive management.

Indicator 3 – Policy Advances

All of the hectares reported here for Indonesia are under effective management as a result of policies aimed at obtaining recognition of the management rights of local indigenous peoples. The traditional land uses and rules of the communities are documented and the project implementers work with the community to map the area in question. Nine of the Indonesia sites have completed this process and obtained official recognition from the government; an additional six are expected to obtain this legal status in FY 2000. Community mapping and, especially, the obtaining of legal status, gives communities the ability to protect their traditional forests from serious threats. For example, the Indonesian village of Nangka used information generated by a mapping exercise to expel a logging concession, and in Saham-Bingge villagers succeeded in preventing the entry of an oil palm plantation into their ancestral lands. These forest conservation successes mean that climate change is mitigated through carbon sequestration.

Several other policy initiatives, while not undertaken specifically for climate change mitigation, had a positive impact on this effort. For example, with assistance from G/ENV partners, the Indonesian Ministry of Mines and Energy issued a new decree assigning itself responsibility to extinguish coal fires. The new decree is a dramatic change from the previous policy that let fires burn uncontrolled. As a result of the decree, 79 new fires were extinguished in East Kalimantan. Because of the new decree and the publicity the project received locally, new coal fires have been reported in several other provinces and, most important, the Ministry is putting out fires on its own without new USAID assistance.

Indicator 4 – Public and Private Funding Leveraged

A number of G/ENV partners have leveraged funds for activities that conserve forest cover. For example, the U.S. Forest Service leveraged funding and technical support from the U.S. Department of State for acquiring and processing high-resolution infrared imagery to characterize high priority fires in tropical forest and conservation units and initiate management action as needed.

Leveraged funds is not part of the regular R4 reporting for SSO1 and, therefore, quantitative data are not reported in the tables. Some of the SSO1 partner organizations do record instances of funds leveraged from other donors but not in a form that is useful for the R4. This data can be collected and verified at a later date. In many cases G/ENV is a significant but not the sole supporter of a partner organization (for example the U.S. Forest Service International Programs and the Center for International Forestry Research) and it will be necessary to devise a rationale for attributing some portion of the leveraging to G/ENV.

Indicator 5 – Institutional Capacity Strengthened

Institutional capacity strengthening is not part of the regular R4 reporting and, therefore, is not entered into the tables. While this is not tracked as an indicator, there are anecdotal descriptions of institutional strengthening as a result of SSO1 activities. The natural resource mapping exercises mentioned above have assisted local communities in countering threats and obtaining official recognition of their management rights. A large part of the forestry program is devoted to demonstration and training in reduced impact harvesting (RIH). When RIH practices are adopted by government agencies or private land holders, clear-cutting is avoided and a corresponding amount of carbon sequestered. As well, RIH practices reduce the amount of waste timber that can accumulate in the forest and become fuel for fires in the dry season.

Research in fire risk and training for coordinated fire fighting have been carried out with G/ENV support. For example, experimental burns to develop more accurate biomass consumption rates and smoke emissions from tropical ecosystems continues into its third year in southern Brazil. Laboratory tests complement the field data, and assessments are now being made of the differing fire risks of conventionally logged vs. RIH sites. A reduction in catastrophic forest fires, which often begin in adjacent agricultural land, has clear implications for climate change. By preventing large-scale fires, carbon emissions are avoided and the forests, which are an effective, long-term carbon sink, are preserved.

SSO1 - Increased and Improved Protection and Sustainable Use of Natural Resources

FY99 Climate Change Reporting Guidance - Data Tables	
Table 1 - Background Information	
Country, Region, Office, or Program Reporting:	
Name of person(s) completing tables:	
GCC Contact 1:	Jean Brennan
SO Team (including SO number):	SSO1, Increased and improved protection and sustainable use of natural resources, principally forests, biodiversity, freshwater and coastal ecosystems, and agricultural lands
GCC Contact 2:	Jennifer McLean
SO Team (including SO number):	USAID Environment Information Clearinghouse
GCC Contact 3:	
SO Team (including SO number):	
Contact Information (USG mail)	
Address (1):	Ronald Reagan Bldg., Room 3.08-B
Address (2):	
Street:	
City, Address Codes:	Washington, DC 20523-3800
Telephone number:	202 712 1750
Fax number:	202 216 3174
E-mail address:	
Other relevant information:	

SSO1 - Increased and Improved Protection and Sustainable Use of Natural Resources

Table 4

Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector

Indicator 1: Area where USAID has initiated interventions to maintain or increase carbon stocks or reduce their rate of loss

Indicator 2: Area where USAID has achieved on-the-ground impacts to preserve, increase, or reduce the rate of loss of carbon stocks

Location				The Site and USAID's Involvement						Additional information you may have (see codes below)	SO Number for Activity	CN/TN Number for Activity
					Indicator 1	Area where USAID has conserved carbon (hectares) Indicator 2						
USAID Activity Name	Country	Region, Province, or State	Site	Principal Activities (see codes below)	Area where USAID has initiated activities (hectares)	Predominant vegetation type (see codes below)	Indicator 2a Natural ecosystems	Predominant managed land type (see codes below)	Indicator 2b Managed lands			
BSP	Indonesia	Central Kalimantan	Barito Selatan	1	8100	A	3800				1	934-001-01
Justification for including site:			Community lands have been mapped and are being managed for NTFP extraction; 3,800 ha are primary forest									
BSP1	Indonesia	Kalimantan Barat	Biawak	1	2239	G	2015				1	934-001-01
Justification for including site:			Community has set up forest use rules under traditional adat law; land is 90% forest gardens									
BSP	Indonesia	Central Kalimantan	Cangkang, Barito Utara	1	4517	A	4517				1	934-001-01
Justification for including site:			Community management plan bans timber harvestingl; site is 55% primary forest and 44% "rubber gardens", i.e., NTFPs									
BSP	Indonesia	Kalimantan Barat, District of Sandai	Demit-Sepiri	1	9000	A	9000				1	934-001-01
				1	2400	G	2400					
Justification for including site:			9,000 ha are primary forest; 2,400 are forest gardens, containing bamboo, coffee, fruit, etc; entire site sustainably managed									
BSP	Indonesia	Central Kalimantan, Barito Utara	Dirung	1	2400	G	2400				1	934-001-01
Justification for including site:			Community management of diverse rubber gardens has reached "effective management"									
BSP	Indonesia	Kalimantan Barat	Kase	1	1024	A	614				1	934-001-01
Justification for including site:												
BSP	Indonesia	Kalimantan Barat	Kerintak	1	890	G	801				1	934-001-01

Table 4												
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector												
Indicator 1: Area where USAID has initiated interventions to maintain or increase carbon stocks or reduce their rate of loss												
Indicator 2: Area where USAID has achieved on-the-ground impacts to preserve, increase, or reduce the rate of loss of carbon stocks												
Justification for including site:	Community has set up forest use rules under traditional adat law; land is 90% forest gardens											
BSP	Indonesia	Kalimantan Barat	Lamboi	1	1209	A	604				1	934-001-01
Justification for including site:	50% of the area is closed canopy, managed for ntfp extraction											
BSP	Indonesia	Kalimantan Barat	Menawi Lingkau	1	1773	G	1596				1	934-001-01
Justification for including site:	Community has set up forest use rules under traditional adat law; land is 90% forest gardens											
BSP	Indonesia	Kalimantan Barat	Menawi Tekam	1	2751	G	2476				1	934-001-01
Justification for including site:	Community has set up forest use rules under traditional adat law; land is 90% forest gardens											
BSP	Indonesia	Kalimantan Barat	Menawi Ulu	1	1037	G	933				1	934-001-01
Justification for including site:	Community has set up forest use rules under traditional adat law; land is 90% forest gardens											
BSP	Indonesia	Central Kalimantan	Muara Puning, Barito Selatan	1	3100	A	1500				1	934-001-01
Justification for including site:	Primary forest; managed under traditional adat law											
BSP	Indonesia	Kalimantan Barat	Nangka Pahauman	1	1082	A	649				1	934-001-01
Justification for including site:												
BSP	Indonesia	Central Kalimantan	Barito Utara, Narui	1	1932	A	1835				1	934-001-01
Justification for including site:	60% of the land is primary forest, 35% is community “rubber gardens” (NTFP extraction); site deemed to be under effective mgmt											
BSP	Indonesia	Kalimantan Barat	Pangkalan Pakit	1	2374	A	1187				1	934-001-01
Justification for including site:	50% of the area is closed canopy, managed for ntfp extraction											
BSP	Indonesia	Kalimantan Barat	Pasir Mayang	1	4764	A	2382				1	934-001-01

Table 4												
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector												
Indicator 1: Area where USAID has initiated interventions to maintain or increase carbon stocks or reduce their rate of loss												
Indicator 2: Area where USAID has achieved on-the-ground impacts to preserve, increase, or reduce the rate of loss of carbon stocks												
Justification for including site:			50% of the area is closed canopy; managed for ntfp extraction									
BSP	Indonesia	Kalimantan Barat	Pate	1	1028	A	617				1	934-001-01
Justification for including site:			60% of the site is forested, under community management, high diversity of hardwoods									
BSP	Indonesia	Kalimantan Barat	Pengerawan	1	1651	A	825				1	934-001-01
Justification for including site:			50% of the area is closed canopy; managed for ntfp extraction									
BSP	Indonesia	Kalimantan Barat	Po'ok	1	942	A	565				1	934-001-01
Justification for including site:			60% of the site is forested, under community management, high diversity of hardwoods									
BSP	Indonesia	Kalimantan Barat	Saham-Bingge	1	3,337	A	2,002				1	934-001-01
Justification for including site:												
BSP	Indonesia	Tanggerang, District of Jelai Hulu	Sei Kiri	1	2013	A	1006				1	934-001-01
Justification for including site:			Half of the area is closed canopy; sustainably managed by indigenous rubber trappers									
BSP	Indonesia	Central Kalimantan	Barito Selatan	1	2149	A	1504				1	934-001-01
				4	107	G		2	107			
Justification for including site:			Community mapping and use rules for forest and gardens; 70% site is primary forest, 5% are rattan gardens									
BSP	Indonesia	Kalimantan Barat	Sungai Kulat/ Ucong	4	2213	G		1,991			1	934-001-01
Justification for including site:			Area is 90% managed as community forest gardens, retaining high diversity of primary forest tree spp									
BSP	Indonesia	Kalimantan Barat, Ketapang	Tanjung	1	4035	A	2017				1	934-001-01
Justification for including site:			50% of the site is closed canopy, managed for ntfp extraction									
BSP	Indonesia	Central Sulawesi	Toro	1	4000	A	4000				1	934-001-01

Table 4												
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector												
Indicator 1: Area where USAID has initiated interventions to maintain or increase carbon stocks or reduce their rate of loss												
Indicator 2: Area where USAID has achieved on-the-ground impacts to preserve, increase, or reduce the rate of loss of carbon stocks												
Justification for including site:			Majority of the area is primary forest, rest is community managed forest (kakau) with high spp diversity for trees, similar to primary forest									
BSP	Indonesia	Central Kalimantan	Ulung Bana	1	4596	A	2757				1	934-001-01
Justification for including site:			Majority of the area (conservatively, 60%) is primary forest managed for rubber trapping									
NFWF	Mexico	Jalisco and Colima states	Sierra Manantlan Biospere Reserve	1	139575	B	35000				1	934-001-01
Justification for including site:			Fire brigades have been created and implemented in core sections of the site									
NFWF	Mexico	Queretaro State	Sierra Gorda Biosphere Reserve	1	24803	B	24803				1	934-001-01
Justification for including site:			The core zone of the Sierra Gorda Biosphere Reserve, or 24,803 ha has been protected by the extension programs of the Grupo Ecologico Sierra Gorda									
Total area (hectares):				**241,041**		**Total area:**	**113,805**	**Total area:**	**107**			

SSO1 - Increased and Improved Protection and Sustainable Use of Natural Resources

Table 5							
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector							
Indicator 3: National/sub-national policy advances in the land use/forestry sector that contribute to the preservation or increase of carbon stocks and sinks, and to the avoidance of greenhouse gas emissions							
Policy Measure	**Scope (N or S)**	**STEP 1: Policy Preparation and Presentation**	**STEP 2: Policy Adoption**	**STEP 3: Implementa-tion and Enforcement**	**List Activities Contributing to Each Policy Category**	**SO Number for Activity**	**CN/TN Number for Activity**
Facilitates improved land use planning	S		2	2	Commercial operations excluded from 3 subdistricts in Indonesia; Community land use planning in 3 districts of Indonesia	SSO1	934-001-01
Facilitates improved land use planning	N		2	2	Coal fire suppression mandated by Ministry of Mines and Energy in Indonesia; Indonesian Forestry Law includes provisions for adat lands and conflict resolution	SSO1	934-001-01
Facilitates sustainable forest management	S		1	1	first Mexican state ecology agency in Chiapas, for the purpose of managing pine-oak woodlands	SSO1	934-001-01

Facilitates establishment and conservation of protected areas	S		2	2	Logging prohibited in two national parks in Bahia, Brazil; government recognition of Adat territories in Indonesian national park	SSO1	934-001-01
Improves integrated coastal management	S		4	4	CRM policies are included here to conform with this template; however, coastal and offshore areas not reported in the Land Use table since there is no Agency mechanism for measuring carbon sequestered in marine environments. Indonesia: marine sanctuary, provincial CRM plan; Mexico: community tourism strategy and fisheries agreement.	SSO1	934-001-01
Decreases agricultural subsidies or other perverse fiscal incentives that hinder sustainable forest management							
Corrects protective trade policies that devalue forest resources							
Clarifies and improves land and resource tenure	N		2	2	Indonesia, first government process for registering Adat lands; Indonesia, independent monitoring recognized for Aceh community	SSO1	934-001-01
Subtotal (number of policy steps achieved):		**13**	**13**	**13**			
Total (number of policy steps achieved):				**39**			

SSO2: Improved Management of Urbanization in Targeted Areas

Summary
Urbanization and climate change are two phenomena that will play major roles in shaping the global commons in the 21st Century. To meet this challenge, the IR2.3 team, in collaboration with the SpO1 Climate Change team, developed and began to implement a three-year strategy to integrate climate change issues into existing or new activities in the urban sector. The center-piece of this strategy is the "Cities for Climate Protection" program administered under a cooperative agreement with the International Council for Local Environmental Initiatives (ICLEI), a Toronto-based nongovernmental organization. Worldwide, more than 250 cities are participating in the Climate Protection program. However the majority of these cities are located in developed countries. The purpose of the cooperative agreement is to demonstrate the feasibility of transferring the program's "five milestone"[7] framework to reducing greenhouse gas emissions to cities in developing countries. FY 1999 results of the Cities for Climate Protection activities in the Philippines and Mexico suggest that the model is indeed applicable to helping cities in developing countries reduce greenhouse gas emissions.

CCI Result 3 – Reduced Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas

In FY 1999, the Cities for Climate Protection program achieved significant results in "policy advances" (Indicator 3) and in "institutional capacity strengthened" (Indicator 6) in five cities in Mexico and five cities in the Philippines. In terms of policy advances, all cities participating in the program signed Memorandums of Understanding with ICLEI to articulate their commitment to implement the program's five-milestone approach to reducing greenhouse gas emissions over a two-year period. ICLEI provided technical assistance to each city to prepare the MOUs as well as to facilitate their adoption.

In terms of increased capacity to address global climate change issues, the Cities for Climate Protection program trained local government officials and technical staff on the merits of integrating GCC issues into municipal planning and budgeting exercises and in the use of a software program to establish emission inventories and baselines. In FY 1999, a total of 10 cities were strengthened to address GCC issues in urban areas. Capacity strengthening was achieved through hosting two workshops in Mexico and two workshops in the Philippines whereby participating cities were introduced to the five-milestone methodology and software for program implementation. Follow-on workshops in FY 2000 will assist each city establish emission reduction goals, develop action plans, and design and implement specific activities to reduce GHG emissions. In addition, the program has begun to engage the industrial sector in each city to reduce GHG emissions through participation in EPA's Climate Wise program. This pairing of the Cities for Climate Protection program with the industry-based Climate Wise program has proved successful in the U.S. Pending increased funding support in FY 2000, this two-track approach to reducing GHG emissions from both urban areas and industry will be tested in both Mexico and the Philippines.

[7] The five milestone framework includes: (1) conduct emissions inventory, (2) estimate emissions forecast, (3) establish reduction goals, (4) develop GHG reduction action plan and (5) implement policies and action plan.

SSO2 – Improved Management of Urbanization in Targeted Areas

Table 1 - Background Information	
Country, Region, Office, or Program Reporting:	G/ENV Office of Environment and Urban Programs
Name of person(s) completing tables:	
GCC Contact 1:	Robert MacLeod
SO Team (including SO number):	
GCC Contact 2:	
SO Team (including SO number):	
GCC Contact 3:	
SO Team (including SO number):	
Contact Information (USG mail)	
Address (1):	(Relocated to:)
Address (2):	Office of Energy, Environment, and Technology
Street:	1300 Pennsylvania Ave., NW
City, Address Codes:	Washington, DC 20523-3800
Telephone number:	202-712-4473
Fax number:	202-216-3174
E-mail address:	
Other relevant information:	

SSO2 – Improved Management of Urbanization in Targeted Areas

Table 9

Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas

Indicator 1: Emissions of Carbon Dioxide Equivalents Avoided, due to USAID Assistance (Measuring Carbon Dioxide, Methane, and Nitrous Oxide)

Activity		3.1 A - CO2 emissions avoided through renewable energy activities			3.1 B - CO2 emissions avoided through end use energy efficiency improvements			3.1 C - CO2 emissions avoided through energy efficiency improvements in generation, transmission, and distribution (including new production capacity)			SO Number for Activity	CN/TN Number for Activity
		MW-h produced in electricity generation	BTUs produced in thermal combustion	Fuel type replaced (use codes)	MW-h saved	BTUs saved in thermal combustion	Fuel type saved (use codes)	MW-h saved	BTUs saved in thermal combustion	Fuel type saved (use codes)		
Ex	Renewable Energy Production Prog.	512,258		J							2.1	CN-120-97
Ex	Steam & Combustion Efficiency Pilot Proj.					1,832,144	J				2.1	CN-120-97
Ex	Power Sector Retrofits							912.733		T	2.1	CN-120-97
1	Streetlighting Retrofit				57 metric tonnes/year						SO2	
2												
3												
4												
5												
6												
7												
8												
9												
10												
11												
12												
13												
14												
15												
	Totals:	**0**	**0**		**0**	**0**		**0**	**0**			

SSO2 – Improved Management of Urbanization in Targeted Areas

Table 10								
Result 3: Decreased Net Greenhouse Gas Emissions from the Energy Sector, Industry, and Urban Areas								
Indicator 3: National/sub-national policy advances in the energy sector, industry and urban areas that contribute to the avoidance of greenhouse gas emissions								
Policy Measure		**Scope (N or S)**	**STEP 1: Policy Preparation and Presentation**	**STEP 2: Policy Adoption**	**STEP 3: Imple-mentation and Enforcement**	**List Activities Contributing to Each Policy Category**	**SO Number for Activity**	**CN/TN Number for Activity**
Facilitates improved demand side management or integrated resource planning								
Facilitates competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers								
Facilitates the installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes								
Facilitates the use of renewable energy technologies								
Facilitates the use of cleaner fossil fuels (cleaner coal or natural gas)								
Facilitates the introduction of cleaner modes of transportation and efficient transportation systems								
Promotes the use of cogeneration								
Other (describe)	**MOUs by cities to reduce GHG emissions via participation in Cities for Climate Protection Program**	S	10	10		G/ENV supported program with the International Council for Local Environmental Initiatives. Technical assistance provided to prepare MOUs, facilitate adoption.		
Subtotal (number of policy steps achieved):			**10**	**10**				
Total (number of policy steps achieved):					**20**			

SSO2 – Improved Management of Urbanization in Targeted Areas

Table 13				
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas				
Indicator 6a: Increased Capacity to Address Global Climate Change Issues				
Number of institutions strengthened to address GCC issues		**Names of Associations, NGOs or other Institutions Strengthened**	**SO Number for Activity**	**CN/TN Number for Activity**
Number of NGOs				
Number of Private Institutions				
Number of Research/Educational Institutions				
Number of Public Institutions	10	Five municipalities in the Philippines; five cities in Mexico	SO2/IR2.3	
Total Number of Institutions Strengthened:	**10**			

SSO2 – Improved Management of Urbanization in Targeted Areas

Table 14						
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas						
Indicator 6b: Technical Capacity Strengthened through Workshops, Research, and/or Training Activities						
Category		**Types of Support Provided (mark with a "1" for each category)**		**List the Activities that Contribute to Each Capacity Building Category**	**SO Number for Activity**	**CN/TN Number for Activity**
		Training	**Technical Assistance**			
Improved demand-side management or integrated resource planning						
Competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers						
Installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes						
Use of renewable energy technologies						
Use of cleaner fossil fuels (cleaner coal or natural gas)						
Introduction of cleaner modes of transportation and efficient transportation systems						
Use of cogeneration						
Other (describe)	**Cities for Climate Protection**	1		Supported two workshops in both Mexico and the Philippines to prepare MOUs and emission inventories	SO2/IR2.3	
Other						
Total number of points for Training/Technical Assistance:		**1**	**0**			

SSO3: Increased, Environmentally Sustainable Energy Production and Use

Summary
Recognizing that global climate change poses profound threats to international economic development and ecological balance, SSO3 addresses climate change through Agency-based programs and international initiatives. In FY 1999, SSO3 has significantly contributed to reducing greenhouse gas emissions in the energy sector through technical, legislative, financial, and institutional capacity building activities.

In FY 1999, SSO3's future ability to address global climate change was significantly bolstered through SSO3's development of President Clinton's five year, $100 million Clean Energy for the 21st Century Initiative. The interagency activity grew out of the clean energy technology development and export initiative based on a report by the President's Committee of Advisors on Science and Technology (PCAST). This program is designed to augment existing SSO3 and other USAID energy related programs to promote sector reform, establish free market policies, institute energy standards, and strengthen energy institutions that enable energy sector development and private sector participation. All of the initiative activities will directly or indirectly reduce worldwide GHG emissions. Final funding for the initiative is pending approval from Congress.

In FY 1999, SSO3 programs maintained a clean energy focus.

- In south Asia, through coordination with ANE, SSO3 designed the $50 million *South Asia Regional Initiative/Energy Program* (SARI/E) with partners such as the U.S. Energy Association, Enron and Unocal to encourage regional energy cooperation. The new $34-million, four-year regional initiative will encourage regional economic integration by promoting cooperation and trade in clean energy, natural gas and renewable energy sources, among South Asian countries. The SARI/E program is part of the larger South Asia Regional Initiative (SARI), a USAID-led effort designed to promote regional stability. The partner countries for the initiative include Bangladesh, India and Nepal. SARI/E will provide technical assistance and training to support regional energy development, cooperation and eventual trade in energy resources among South Asian nations.
- In Central America, SSO3 is spearheading USAID's Hurricane Mitch energy sector reconstruction efforts designed to enhance the capability of the Central American energy sectors to survive catastrophic weather events, while at the same time promoting environmentally sustainable energy use.
- In Africa, SSO3 is developing training and technical assistance for the West African Gas Pipeline Project. The assistance will focus on improving the capacity of energy officials in Nigeria, Togo, Benin, and Ghana to negotiate a commercially developed and managed project with private sector pipeline partners. The project has long-term economic and environmental benefits including: greater availability of gas to alleviate the current regional energy crisis, more reliable access to electricity, and less greenhouse gas emissions from the flaring of natural gas in Nigerian oil fields.
- In Latin America, SSO3 is working with the Government of Brazil to develop policies that clearly favor renewable energy or energy efficiency programs. For example the SSO3 renewable energy team, in conjunction with USAID/Brasilia and SSO3 cooperators, worked closely with the National Energy Regulatory Agency of Brazil (ANEEL) to assess the

renewable energy aspects of ANEEL Resolution 245/99. This newly adopted law provides federal funds to electric utilities that invest in renewable or energy efficient technologies. This legislation provides a strong incentive for public- and investor-owned utilities to increase clean energy use.

CCI Result 1 – Increased participation in UNFCCC

SSO 3 programs work in concert with SPO1 in addressing global climate change. SPO1 activities are devoted to increasing participation in UNFCCC, while SSO3 activities are focused on reducing greenhouse gas emissions from energy sector activities; therefore, SSO3 has nothing to report under this category.

CCI Result 3 – Reduced Greenhouse Gas Emissions from Energy Sector Activities

Indicator 1 – Energy Sector, Industrial, and Urban Activities

In FY 1999, SSO3 reduced carbon dioxide emissions (CTE) by 332,880 tons in FY 1999 for a total of 967,000 CTE tons reduced cumulatively. This indicator aggregates those GHG emissions avoided from FY 1999 with emissions from the previous years. The largest contributor to GHG reductions in FY 1999 came from the renewable energy team. In FY 1999, over 99 megawatts of emission free, grid connected energy came on-line as a results of the SSO3 renewable energy activities in Brazil, India, Indonesia, and Sri Lanka directly reducing carbon dioxide emissions by over 330,000 metric tons.

Indicator 3 – Policy Advances

In FY 1999, SSO3 influenced the implementation of twelve public policies in Brazil (9), Mexico (2), the Philippines and the Near East that will lead to reductions in greenhouse gas emissions**.** In Brazil, for example, the renewable energy team in conjunction with USAID/Brasilia and SSO3 cooperators worked closely with the National Energy Regulatory Agency of Brazil (ANEEL) to assess the renewable energy aspects of ANEEL Resolution 245/99. This newly adopted law provides federal funds to electric utilities that invest in renewable or energy efficient technologies. This legislation provides a strong incentive for public and investor owned utilities to increase clean energy use.

Indicator 5 – Public and Private Funding Leveraged

SSO3 leveraged $208.4 million for environmentally sound energy projects in Brazil, Ghana, Guatemala, India, the Philippines, and Southern Africa. Private sector funding of energy projects, leveraged by SSO3, enables developing country governments to address climate change by upgrading energy technology, creating less polluting energy systems through clean energy technology transfer, increased use of renewable energy generation, and improved policy frameworks . The largest contributor to this indicator was the $200 million World Bank rural electrification loan to the Philippines. SSO3 contributed to the development of the loan by collaborating with the World Bank (through the Global Environment Facility and the Asia Alternative Energy Unit) and Winrock International.

Indicator 6 – Institutional Capacity Building

In 1999 the Energy and Environment Training Program (EETP) trained 655 people (515 men; 140 women) from 25 countries in 20 events (16 more events are scheduled for FY 2000 to complete the current training cycle) in courses relating to global climate change. Participant

selection focused on counterparts of other USAID programs so as to maximize impact for the Agency's programmatic objectives. In-depth courses were conducted in Economic and Financial Evaluation of Energy Efficiency Projects; Monitoring & Verification of Greenhouse Gas Emissions; Implementation of Power Sector Regulatory Reform; Economic and Financial Evaluation of Renewable Energy Projects; Application of ISO 14000 Environmental Management Systems for Municipalities; and Least Cost Planning for Electric Utilities. Three-week in-country courses were offered in 1999 on Energy Efficiency Entrepreneurship (in Brazil, Ghana, and the Philippines) and Renewable Energy Entrepreneurship (in Brazil, Guatemala, and the Philippines). A one-day Climate Change & Development Forum, was offered in Bangladesh, the Dominican Republic, Jamaica, and the Philippines, and a one-week Economics of Climate Change workshop was offered in Ecuador, Kazakhstan, and Ukraine, with three more iterations scheduled for the Dominican Republic, Senegal, and Zimbabwe in 2000. Courses in Macro-Economic Modeling for Climate Change; Monitoring & Verification of Carbon Sequestration; and Emissions Trading for Environmental Protection are scheduled for FY 2000.

In addition to EETP activities, SSO3 programs strengthened 6 NGOs, 37 private entities, 2 research institutions, and 12 public institutions for improved capacity to implement global climate change activities.

SSO3 - Increased, Environmentally Sustainable Energy Production and Use

FY99 Climate Change Reporting Guidance - Data Tables	
Table 1 - Background Information	
Country, Region, Office, or Program Reporting:	G/ENV Office of Energy, Environment, and Technology
Name of person(s) completing tables:	
GCC Contact 1:	Gordon Weynand
SO Team (including SO number):	SSO3
GCC Contact 2:	Duane Lakich
SO Team (including SO number):	SSO3
GCC Contact 3:	
SO Team (including SO number):	
Contact Information (USG mail)	
Address (1):	USAID - G/ENV Office of Energy, Environment, and Technology
Address (2):	
Street:	Ronald Reagan Building 1300 Pennsylvania Ave., NW Room 3.08-B
City, Address Codes:	Washington, DC 20523-3800
Telephone number:	202-712-5445
Fax number:	202-216-3174
E-mail address:	genv@genv.org
Other relevant information:	

SSO3 - Increased, Environmentally Sustainable Energy Production and Use

Table 9

Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas

Indicator 1: Emissions of Carbon Dioxide Equivalents Avoided, due to USAID Assistance (Measuring Carbon Dioxide, Methane, and Nitrous Oxide)

Activity		3.1 A - CO2 emissions avoided through renewable energy activities			3.1 B - CO2 emissions avoided through end use energy efficiency improvements			3.1 C - CO2 emissions avoided through energy efficiency improvements in generation, transmission, and distribution (including new production capacity)			SO Number for Activity	CN/TN Number for Activity
		MW-h produced in electricity generation	BTUs produced in thermal combustion	Fuel type replaced (use codes)	MW-h saved	BTUs saved in thermal combustion	Fuel type saved (use codes)	MW-h saved	BTUs saved in thermal combustion	Fuel type saved (use codes)		
1	Renewable Energy Production Prog. India		3,043,030,000,000	73.2% W, 2.7% d, 6.2% EE, 2.0% Nuke - N/A, 15.9% Hydro - N/A							SO2	
2	Renewable Energy Production Prog. Brazil		19,623,000,000	1.6% W, 3.0% D, 91% Hydro - N/A, 4.4% FF							SO2	
3	Renewable Energy Production Prog. Sri Lanka		92,032,076,000	73.2% W, 2.7% D, 6.2% EE, 2.0% Nuke - N/A, 15.9% Hydro - N/A							SO2	
4	Renewable Energy Production Prog. Indonesia		518,088,000,000	25.9% W, 25.4% D, 31.9% EE, 13.3% Hydro - N/A, 3.5% Geotherm - N/A							SO2	
5	Power Sector Retrofits, Mexico. Bechtel has already calculated a FY 1999 CO2 reduction of 235,000 metric tons					(see note at left)					SO2	
	Totals:	**0**	**3,672,780,000,000**		**0**	**0**		**0**	**0**			

SSO3 - Increased, Environmentally Sustainable Energy Production and Use

Table 10							
Result 3: Decreased Net Greenhouse Gas Emissions from the Energy Sector, Industry, and Urban Areas							
Indicator 3: National/sub-national policy advances in the energy sector, industry and urban areas that contribute to the avoidance of greenhouse gas emissions							
Policy Measure	**Scope (N or S)**	**STEP 1: Policy Preparation and Presentation**	**STEP 2: Policy Adoption**	**STEP 3: Imple-mentation and Enforcement**	**List Activities Contributing to Each Policy Category**	**SO Number for Activity**	**CN/TN Number for Activity**
Facilitates improved demand side management or integrated resource planning							
Facilitates competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers							
Facilitates the installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes							
Facilitates the use of renewable energy technologies	S		2		2 subnational policies adopted: (1) LUZ NO CAMPO Federal Electrification Program and (2) COELBA's Appraisal on RE for Rural Electrification	SSO3	
Facilitates the use of renewable energy technologies	**N**		7		7 national policies adopted as a result of USAID activities: (1) ANEEL Resolution 393/98, Procedures for approval of inventory studies of hydrographic basins, (2) ANEEL Resolution 394/98, Criteria for enterprises to be considered small hydro plants, (3) ANEEL Resolution 395/98, Procedures for approval of feasibility studies and basic projects of hydroelectric power plants, (4) ANEEL Resolution 112/99, Requisites for registry and/or authorization for implementation or expansion of renewable energy power plants, (5) ANEEL Resolution 233/99, Normative values as maximum energy buying prices allowed to be transferred to the supply tariffs, (6) ANEEL Resolution 245/99, Conditions and schedules for transferring CCC funds to renewable energy projects in isolated systems that substitute fossil fuel electric generators, (7) ANEEL Resolution 261/99, Obligations to power utilities to invest in energy		

					efficiency and R&D (including renewable energy technologies and project implementations)		
Facilitates the use of renewable energy technologies	N		1		1 national policy adopted: (1) "Enunciated policy" of DOE favoring maximizing private sector role and rural energy service company model for electrification		
Facilitates the use of cleaner fossil fuels (cleaner coal or natural gas)	N		2		2 national policies: (1) In Mexico, as a result of USAID recommendations to the Secretaria de Energia, the Government of Mexico made modifications to the federal public procurement law (Ley de Aquisiciones de Obras Publicas). The modifications will allow CFE (the largest electric utility in Mexico) to enter into joint ventures and joint stock associations. These developments will assist CFE in attracting domestic and foreign capital for energy sector infrastructure development. (2) USAID assisted in improving Mexican electricity integration with U.S. In FY 1999, CFE recently tendered 200 MW of electricity from the U.S. (Bechtel)		
Facilitates the introduction of cleaner modes of transportation and efficient transportation systems							
Promotes the use of cogeneration							
Other (describe)							
Subtotal (number of policy steps achieved):			**12**				
Total (number of policy steps achieved):				**12**			

SSO3 - Increased, Environmentally Sustainable Energy Production and Use

Table 12

Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas

Indicator 5: Value of Public and Private Investment Leveraged by USAID for Activities That Reduce Greenhouse Gas Emissions

	Activity Description	Source of Leveraged Funds	Describe methodology for determining amount of funding	Direct Leveraged Funds	Indirect Leveraged Funds	SO Number for Activity	CN/TN Number for Activity
1	Latin American Business Council for Sustainable Energy for energy efficiency programs (IIEC)	GZT (A German Energy Efficiency Fund)	In Brazil, USAID leveraged $.060 million from GZT to the Latin American Business Council for Sustainable Energy for energy efficiency programs (IIEC)	$600,000		3.2	
2	pending	Pending	In India, USAID leveraged $1.5 million from whom? to Indian pulp factory (name of the factory) performance contracting project (ASE)	$1,500,000		3.2	
3	CEECI for expanding energy efficiency projects. (ASE)	W. Alton Jones Foundation	USAID leveraged $.106 million grant from W. Alton Jones to CEECI for expanding energy efficiency projects. (ASE)	$106,000		3.1	
4	Government of Ghana for initiating energy efficiency projects (LBNL)	World Bank	In Ghana, USAID leveraged $.400 million from World Bank to Government of Ghana for initiating energy efficiency projects (LBNL)	$400,000		3.1	
5	Renewable Energy Isolated Grids Project - Philippines	World Bank	Through USAID-supported staff at the World Bank and high-level collaboration with WB officials through Winrock International, IR 3.2 influenced renewable energy systems for island grids loan. Approved by Bank Board in June of 1999.		$4,000,000	3.2	
6	Andra Prdesh Sector Restructuring - India	World Bank	Through USAID-supported staff at the World Bank and high-level collaboration with WB officials through Winrock International, IR 3.2 influenced the financing of energy efficiency programs and DSM capacity building programs. Total cost listed is cumulative estimated total from 5 APL projects. Approved by Bank Board in February of 1999		$50,000,000	3.2	
7	Andra Prdesh Intergrated Agriculture DSM and AIJ Project - India	World Bank	Through USAID-supported staff at the World Bank and high-level collaboration with WB officials through Winrock International, IR 3.2 influenced an energy efficient agricultural pump set loan. Approved by Bank Board in June of 1999		$4,600,000	3.2	

Table 12

Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas

Indicator 5: Value of Public and Private Investment Leveraged by USAID for Activities That Reduce Greenhouse Gas Emissions

	Activity Description	Source of Leveraged Funds	Describe methodology for determining amount of funding	Direct Leveraged Funds	Indirect Leveraged Funds	SO Number for Activity	CN/TN Number for Activity
8	UNDP/GEF - Grant for RE Projects in Peace Zone - Guatemala	UNDP/GEF	Through USAID-supported staff at the World Bank and high-level collaboration with WB officials through Winrock International, IR 3.2 influenced a variety of WB loans. Fundacion Solar used an initial $25K Block A PDF grant to develop pre-feasibility studies for 8 project locations in the Peace Zone, including 79 SHS in 2 communities; 2 micro-hydro community electrification projects; 2 community water pumping systems; and 2 crop drying micro-enterprise projects. CONAMA, the Guatemalan Environment Commission and GEF focal point, endorsed the proposal, which was approved by GEF in September. The European Union has signed to commit ($300,000) in co-financing.		$325,000	3.2	
9	PRODEEM Funding	Japanese Special Funds	IR 3.2, in collaboration with USAID/Brazil and Winrock, assisted in identifying projects and facilitated linkages between PRODEEM and funding agencies.		$764,108	3.2	
10	PRODEEM Funding	Fomin	IR 3.2, in collaboration with USAID/Brazil and Winrock, assisted in identifying projects and facilitated linkages between PRODEEM and funding agencies.		$1,800,000	3.2	
11	PRODEEM Funding	EU	IR 3.2, in collaboration with USAID/Brazil and Winrock, assisted in identifying projects and facilitated linkages between PRODEEM and funding agencies.		$77,532	3.2	
12	Rural Electrification Project - Philippines	World Bank	IR 3.2, in collaboration with USAID/Philippines and Winrock, gave technical assistance and in-country logistics in support of ESMAP's preparation of policy note for dialogue and negotiation of rural electrification projects incorporating 70-90 million for renewable energy		$90,000,000	3.2	
13	Philippine Hydropower Project	PDOE	IR 3.2, in collaboration with USAID/Philippines and Winrock, developed a project financing model and provided a grant for project identification, preparation and technical assistance		$70,000,000	3.2	

Table 12

Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas

Indicator 5: Value of Public and Private Investment Leveraged by USAID for Activities That Reduce Greenhouse Gas Emissions

	Activity Description	Source of Leveraged Funds	Describe methodology for determining amount of funding	Direct Leveraged Funds	Indirect Leveraged Funds	SO Number for Activity	CN/TN Number for Activity
14	Hurricane Mitch Reconstruction	G-CAP	WI/REPSO joint unsolicited proposal for use of RE in Mitch reconstruction and disaster readiness efforts, resulted in Guatemala mission directing $1M of its supplemental funding to RE projects for severely affected communities.	$1,000,000		3.2	
15	Technical Assistance to PRODEEM	World Bank	Consultancy services to MME for program restructuring; Provide technical assistance to NGOs, community groups, and firms in accessing PRODEEM funding		$16,145,833	3.2	
16	Brazilian Rural Electrification Program	Bahia Ministry of Energy	Provided technical support in program development		$2,842,500	3.2	
17	PRODEEM Funding	World Bank	Consultancy services to MME for program restructuring; Provide technical assistance to NGOs, community groups, and firms in accessing PRODEEM funding;		$2,767,982	3.2	
18	RE development - Brazil	Private sector	Workshop to identify possible partners; Spread out of bid processes for Wind Prainha		$10,000,000	3.2	
19	RE development - Brazil	Private sector	Workshop to identify possible partners; Spread out of bid processes for Wind Taiba		$5,000,000	3.2	
20	RE development - Brazil	Private sector	Workshop to identify possible partners; Spread out of bid processes for Wind Palmas		$2,500,000	3.2	
21	Electric Vehicle Development - Nepal	Private sector	USAID Cost-share provided to carry out feasibility study				
22	RE development - Brazil	Electrogoes	In Brazil, IR 3.2 (in conjunction with USAID/Brazil and Winrock) influenced Electrogoes' decision to explore a biomass generation project through $3,000 grant from WI for a pre-feasibility study.	$3,000		3.2	
23	RE development - Brazil	GPE	In Brazil, IR 3.2 (in conjunction with USAID/Brazil and Winrock) influenced GPE's decision to explore a SHP generation project through a $3,500 grant from WI for project implementation. The partner subsequently contributed $312,500.	$316,000		3.2	

Table 12

Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas

Indicator 5: Value of Public and Private Investment Leveraged by USAID for Activities That Reduce Greenhouse Gas Emissions

	Activity Description	Source of Leveraged Funds	Describe methodology for determining amount of funding	Direct Leveraged Funds	Indirect Leveraged Funds	SO Number for Activity	CN/TN Number for Activity
24	RE development - Brazil	Astropower	In Brazil, IR 3.2 (in conjunction with USAID/Brazil and Winrock) influenced Astropower's decision to explore a PV generation project through a $1,500 grant from WI for a pre-feasibility study. A partner subsequently contributed $20,000	$20,000		3.2	
25	RE development - Brazil	US Hydropower	In Brazil, IR 3.2 (in conjunction with USAID/Brazil and Winrock) influenced US Hydropower's ' decision to explore a generation project through a $4,500 grant from WI for a pre-feasibility study.	$4,500		3.2	
26	RE development - Brazil	Shell/ESKOM	In South Africa, IR 3.2 (in conjunction with USAID/ RSCA and Winrock) influenced Shell/ESKOM's decision to expand a PV generation project through technical assistance.	$0		3.2	
27	RE development - Philippines	Silk Roads	In the Philippines, IR 3.2 (in conjunction with USAID/Brazil and Winrock) influenced Silk Roads Inc.'s decision to expand an anerobic digestion generation project through a $50,000 grant from WI for project design. The partner subsequently contributed $75,000.	$125,000		3.2	
28	RE development - Philippines	P.T. Cilengka Energi Surya's	In Indonesia, IR 3.2 (in conjunction with USAID/Indonesia and Winrock) influenced P.T. Cilengka Energi Surya's decision to expand a PV manufacturing facility through a $150,000 grant from WI for technical assistance. $148,000 was subsequently contributed by the partner	$298,000		3.2	
29	RE development - Philippines	P.T. Cakra's	In Indonesia, IR 3.2 (in conjunction with USAID/Indonesia and Winrock) influenced P.T. Cakra's decision to expand a micro-hydo generation facility manufact through a $150,000 grant from WI for project design. $82,750 was subsequently contributed by the partner	$232,750		3.2	

Table 12

Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas

Indicator 5: Value of Public and Private Investment Leveraged by USAID for Activities That Reduce Greenhouse Gas Emissions

	Activity Description	Source of Leveraged Funds	Describe methodology for determining amount of funding	Direct Leveraged Funds	Indirect Leveraged Funds	SO Number for Activity	CN/TN Number for Activity
30	RE development - Philippines	P.T. Altari's	In Indonesia, IR 3.2 (in conjunction with USAID/Indonesia and Winrock) influenced P.T. Altari's decision to expand a PV commercialization project through a $50,000 grant from WI for project design/implementation. The partner subsequently contributed $148,000 .	$298,000		3.2	
31	Electric Vehicle Development - India	New Generation Motors	In India, USAID leveraged $300,000 from New Generation Motors to IZET for electric vehicle technology/market development. (Bechtel)	$300,000		3.2	
32	Electric Vehicle Development - India	Bajaj Auto	In India, USAID leveraged $500,000 from Bajaj Auto to IZET for electric vehicle technology/market development (Bechtel)	$500,000		3.2	
33	Mexican Energy Sector Reform	EPT, Inc	In Mexico, USAID leveraged $150,000 REACH technology funding from CFE to EPT, Inc (Bechtel)	$150,000		3.2	
34	Electric Vehicle Development - Thailand	Pholosith Motors	In Thailand, USAID leveraged 3,000,000 electric vehicle funding from Pholosith motors for expanded electric vehicle (Bechtel)	$3,000,000		3.2	
35	Electric Vehicle Development - Thailand	Maini and Amerigon	In India, USAID leveraged $6,000,000 from who from a joint venture between Maini and Amerigon for Producing REVA electric vehicles (Bechtel)	$6,000,000		3.2	
36	Southern Africa Power Pool Project	member utilities	In Southern Africa, USAID leveraged $ 150,000 to Southern Africa Power Pool for the establishment of a regional transmission coordination center	$150,000		3.2	
37	Ghana Energy Reform Activity	Maryland and Pennsylvania Public Utility Commissions	In Ghana, USAID leveraged $25,000 from Maryland and Pennsylvania Public Utility Commissions to the Ghana PURC for the development of tariff structures (Bechtel)	$25,000		3.2	
38	West African Gas Pipeline Project	ATRIP	In West Africa, USAID leveraged $1,500,000 from ATRIP to the W. African Pipeline Project (SSO3)	$1,500,000		3.2	
39	USEA - EPP	KEB	In India, USAID leveraged $700,000 from KEB to Energyline, Inc for automated distribution control technology (USEA)	$700,000		3.2	
40	USEA - EPP	MERALCO	In the Philippines, USAID leveraged $100,000 from MERALCO to CSW, Inc for ABC accounting software. (USEA)	$100,000		3.2	

Table 12						
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas **Indicator 5: Value of Public and Private Investment Leveraged by USAID for Activities That Reduce Greenhouse Gas Emissions**						
Activity Description	**Source of Leveraged Funds**	**Describe methodology for determining amount of funding**	**Direct Leveraged Funds**	**Indirect Leveraged Funds**	**SO Number for Activity**	**CN/TN Number for Activity**
		Total:	**$17,328,250**	**$260,822,955**		

SSO3 Increased, Environmentally Sustainable Energy Production and Use

Table 13

Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas

Indicator 6a: Increased Capacity to Address Global Climate Change Issues

Number of institutions strengthened to address GCC issues		Names of Associations, NGOs or Other Institutions Strengthened	SO Number for Activity	CN/TN Number for Activity
Number of NGOs	6	Egyptian Energy Services Business Association, CONAE (National Mexican Energy Savings Commission), Mexican Rural Development Foundation, Renewable Energy Development Group; Iiemba Regional Council, ACERCA (Central American Regulator Association)	SSO3	
Number of Private Institutions	37	Accra International Airport, Ghana Trade Fair Authority, North Ridge Hotel, Pioneer Aluminum Company, Darko Farms, (12) Egyptian Banks, PSA, PESCARE, CONBRAC, JUPARA, MAMIRAUA, IESB, FVA, Valley Trust, Prefered Energy, Martin Chautari, Himilayan Light Foundation, Masyarakat Energi Terbarukan,, SADC, SAPP, Bajaj Motors, Maini, ALESCO, Pholosith, PLN Java Bali Power Company, AMM	SSO3	
Number of Research/Educational Institutions	38	Accra International Airport, Ghana Trade Fair Authority, North Ridge Hotel, Pioneer Aluminum Company, Darko Farms, (12) Egyptian Banks, PSA, PESCARE, CONBRAC, JUPARA, MAMIRAUA, IESB, FVA, Valley Trust, Prefered Energy, Martin Chautari, Himilayan Light Foundation, Masyarakat Energi Terbarukan,, SADC, SAPP, Bajaj Motors, Maini, ALESCO, Pholosith, PLN Java Bali Power Company, AMM	SSO3	
Number of Pubic Institutions	12	Government of Philippines, Philippine Department of Transportation, Philippine Department of Public Works, Metro Manila Development Authority, Ghana State TV, Brazilian Ministry of Mine and Energy, Philippine Department of Energy, CFE (Mexican State Utility), PEMEX (Mexican State Petroleum Company), CERC (Indian Federal Energy Reg. Agency), SDE (DR Federal Energy Regulatory Agency), PURC (Ghana Federal Energy Reg. Agency)	SSO3	
Total Number of Institutions Strengthened:	**93**			

SpO1: Agency Climate Change Program Effectively Implemented

The over-arching objective of the USAID Climate Change Program (SpO1) is to work with developing and transition countries to promote sustainable development that minimizes the associated growth in greenhouse gas emissions, and reduces vulnerability to climate change. Primary responsibilities of the Climate Change Program include managing and providing technical leadership for the USAID Climate Change Initiative (CCI), and helping to strengthen developing and transition country participation in the United Nations Framework Convention on Climate Change (UNFCCC).

Since the Program deals entirely with global climate change, all the information reported in the main section of the R4 also relates to this Annex. (See the section in the main R4 text entitled, "Special Objective 1 (SpO1): Agency Climate Change Program Effectively Implemented".) This Annex will serve only to report on those activities that are specific to the CCI results and indicators, namely: Result 1, Indicator 2 (increased capacity to meet requirements of the UNFCCC) and Result 3, Indicator 3 (policy advances in the energy sector, industry and urban areas that contribute to the avoidance of greenhouse gas emissions).

CCI Result 1 – Increased Participation in the UNFCCC

Indicator 2 – Increased Capacity to Meet Requirements of the UNFCCC

The SpO1 Climate Change Team, which implements the CCI, has demonstrated strong leadership both within the U.S. government and internationally, applying Agency core competencies to develop innovative programs and strategies that further the goals of the UNFCCC. In FY 1999 the SpO1 Team continued to play a significant role strengthening participation by developing and transition countries in the Convention. Through capacity building events and activities, the Team worked with officials and experts from developing and transition counties worldwide to promote the achievement of UNFCCC goals. Significantly, the Team's delegation to COP-5 led U.S. negotiations on capacity building, drawing on USAID experience and expertise in this area.

The Team also worked to support a wide range of capacity building activities for developing and transition countries, both through training events and technical assistance. Training activities included, for example, contributions to on-going efforts to assist small island states that are most vulnerable to sea level rise. Additionally, the Team provided technical assistance and know-how through a series of expert reports addressing: simplified approaches to valuing and crediting carbon emissions; best practices for land use change and forestry carbon offset projects; lessons learned from the joint implementation (JI) pilot phase; and the role of flexibility mechanisms in addressing global climate change. In a related effort, the Team provided technical assistance to the U.S. Initiative on Joint Implementation for the technical review of 13 project proposals and 10 projects. These field-based projects are aimed at offsetting the carbon emissions of industrialized countries through the application of land use practices or emissions mitigation technologies in developing or transition countries.

The SpO1 Team also made significant contributions in the area of technology cooperation. For example, the Team supported a range of technology cooperation capacity building events, including a Climate Technology Initiative (CTI) training seminar in Zimbabwe and two

workshops in Dakar that addressed technology cooperation opportunities. The Team also led the U.S. Government in activities related to UNFCCC negotiations on technology transfer, including the development of a compendium of all USG technology transfer activities for distribution at COP-5, and direct support for the consultative process on technology transfer. Likewise, the Team led the development of the USG submission on technology transfer to the SBSTA meeting in Bonn.

One major achievement for the SpO1 Team in FY 1999 was the continued development of the Technology Cooperation Agreement Pilot Project (TCAPP), an interagency program supported by USAID, USDOE and USEPA and implemented by the National Renewable Energy Laboratory (NREL). Working in partnership with developing and transition country governments worldwide, TCAPP developed strategies for mobilizing private investment and donor support to address country-specific technology cooperation needs. Several new investment actions developed under TCAPP include business matching programs, private sector solicitations, policy reform actions, pre-feasibility studies, and donor meetings. Overall TCAPP conducted six activities providing technical assistance to developing and transition countries. One notable program achievement was an activity developed in coordination with the Climate Technology Initiative to help develop regional technology priorities for the Southern African Development Community (SADC). Looking ahead, in FY 2000 TCAPP will develop two to three business investment projects per country, further establishing TCAPP as a model for technology transfer under the UNFCCC.

CCI Result 3 – Reduced Greenhouse Gas Emissions from the Energy Sector, Industry, and Urban Areas

Indicator 2 – Policy Advances

TCAPP efforts in the Philippines involved working with the Philippines Department of Energy and the Office of the President to advance renewable energy for use in rural economic development. In FY 1999, the Philippines TCAPP effort helped develop and receive approval for implementation of a series of policy reforms that promote the renewable energy market. This effort included developing a series of policy reforms into Fast Track Recommendations at the national level.

SpO1 Team (G/ENV Climate Change Team)

FY99 Climate Change Reporting Guidance - Data Tables	
Table 1 - Background Information	
Country, Region, Office, or Program Reporting:	**G/ENV SpO1 (Climate Change Team)**
Name of person(s) completing tables:	
GCC Contact 1:	Ko Barrett
SO Team (including SO number):	SpO1, Agency Climate Change Program Effectively Implemented
GCC Contact 2:	Duane Lakich
SO Team (including SO number):	SpO1, Agency Climate Change Program Effectively Implemented
GCC Contact 3:	PADCO Environmental Services Division
SO Team (including SO number):	SpO1, Agency Climate Change Program Effectively Implemented
Contact Information (USG mail)	
Address (1):	USAID/G/ENV
Address (2):	The Ronald Reagan Building
Street:	1300 Pennsylvania Ave., NW Room 3.08-B
City, Address Codes:	Washington, DC 20523-3800
Telephone number:	202-712-5445
Fax number:	202-216-3174
Email address:	genv@genv.org
Other relevant information:	

SpO1 Team (G/ENV Climate Change Team)

Table 3						
Result 1: Increased Participation in the UNFCCC **Indicator 2: Increased capacity to meet requirements of the UNFCCC**						
Categories		**Types of Support Provided (mark with a "1" for each category)**		**List the Activities that Contribute to Each Capacity Building Category**	**SO Number for Activity**	**CN/TN Number for Activity**
		Training	**Technical Assistance**			
Ex: Support for joint implementation activities		1	1	Provided training and assistance in the economic and financial evaluation of energy efficient projects for consideration in JI activities.	2.4	CN-23-222
Monitoring and verifying GHG emissions						
Growth baselines for pegging GHG emissions to economic growth						
Development of emissions reduction targets and timetables						
Support for joint implementation activities		1	1	Reports on (1) Simplified approach to valuing and crediting carbon emissions; (2) Best practices for land use change and forestry carbon offset projects; (3) lessons learned from JI pilot phase; (4) presentation materials on GCC and flexible mechanisms; (5) technical review of 13 project proposals and 10 projects for JI; (6) Dakar I and (7) Dakar II workshops in Senegal	SpO1	ENV-SpO1
Other (describe)	**Facilitate technology cooperation**	1	1	(1) CTI seminar training in Zimbabwe; (2) SADC Climate Change Workshop in Botswana; (3) TCAPP side event at SBSTA meetings in June 1999; (4) - (9) TCAPP technical assistance activities to support networks, in-country team development, and increased private sector participation; (10) compilation of technology cooperation activities	SpO1	ENV-SpO1
Other	**Support for vulnerability & adaptation activities**	1		AOSIS Climate Change Workshop in Marshall Islands, July 1999	SpO1	ENV-SpO1
Total number of points for Training/Technical Assistance:		**3**	**2**			

SpO1 Team (G/ENV Climate Change Team)

Table 10

Result 3: Decreased Net Greenhouse Gas Emissions from the Energy Sector, Industry, and Urban Areas

Indicator 3: National/sub-national policy advances in the energy sector, industry and urban areas that contribute to the avoidance of greenhouse gas emissions

Policy Measure	Scope (N or S)	STEP 1: Policy Preparation and Presentation	STEP 2: Policy Adoption	STEP 3: Imple-mentation and Enforcement	List Activities Contributing to Each Policy Category	SO Number for Activity	CN/TN Number for Activity
Example: Facilitates improved demand side management or integrated resource planning	N	2	1			2.4	CN-577-92
Facilitates improved demand side management or integrated resource planning							
Facilitates competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers							
Facilitates the installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes							
Facilitates the use of renewable energy technologies	N	1			TCAPP activity in the Philippines led to the development of policy reform actions into Fast Track Recommenda-tions. Reforms will facilitate renewable energy market development	SpO1	ENV-SpO1
Facilitates the use of cleaner fossil fuels (cleaner coal or natural gas)							
Facilitates the introduction of cleaner modes of transportation and efficient transportation systems							
Promotes the use of cogeneration							
Other (describe)							
Subtotal (number of policy steps achieved):		**1**	**0**	**0**			
Total (number of policy steps achieved):				**1**			

GLOBAL BUREAU ENVIRONMENT CENTER

FY 2002

RESULTS REVIEW

ANNEX D: IR PROGRESS TOWARD OBJECTIVES

April 3, 2000

Table of Contents

SSO1 Intermediate Results

IR1.1 Biodiversity Conservation

Self-Assessment

The Global Environment Center biodiversity program exceeded its FY 1999 performance targets measuring progress in conserving critical habitats around the world for biological diversity. In FY 1999, the team worked with U.S. and host-country partners to achieve the effective management of 985,970 hectares,[8] which surpasses the target of 900,000, and to realize the improved management of 22,806,924 hectares**,** which exceeds the target of 12,000,000 hectares. The program also produced 12 new policy successes this year, two more than the 10 successes that were planned. In addition, team members fulfilled several significant value-added functions, including developing a new Agency cooperative agreement (Leader with Associates), and launching the $33.0 million Global Conservation Program (GCP) and the $75 million Biodiversity and Forestry (BioFor) IQC. The new Leader with Associates cooperative agreement will promote partnerships between USAID and the nonprofit community in a wide range of issues. With the new program portfolio and renewed Agency interest in biodiversity conservation, the team looks forward to continued strong performance, meeting or exceeding targets for FY 2000 and beyond.

Summary

Since FY 1996, the biodiversity program has consistently performed on-track and even exceeded its targets to meet its highest level objective to promote the effective management of the world's remaining tropical forests, mangroves, coral reefs, savannas, deserts, and other threatened ecosystems. Through 12 agreements with leading U.S. conservation organizations and government agencies and new contracts with USAID consulting firms, the team pursued the following results in its portfolio: strengthened conservation policies, improved management capacity in key sites, increased public awareness of biodiversity conservation, conservation areas identified for future interventions, and increased conservation financing. To track progress toward achieving these results, the team monitored three program indicators: hectares under improved management and under effective management, and the number of policy successes. The team also monitored its value-added contributions with four indicators: days of in-country assistance, buy-ins to Center mechanisms, and Agency and international leadership. These indicators are aggregated up to assess SSO1 performance.

Key Results

Since FY 1996, when the team instituted its current performance monitoring system, IR1.1 has helped improve the management of 22,806,924 hectares of the world's most biologically valuable habitats—an area greater than the size of the United Kingdom. To date, the portfolio of improved areas contains 231 sites in 24 countries, including the world's largest freshwater wetland located in the Pantanal of Bolivia, the highest montane forests in the Himalayas of Nepal, the arid steppes of Mongolia, the rain forests in the Atlantic coast of Brazil, and biologically rich coral reefs of Papua New Guinea. Due to G/ENV and partners assistance, tangible conservation results are being achieved and lessons are being learned and disseminated

[8] Unless noted otherwise, performance is determined by employing targets that track cumulative results from the baseline year of FY 1996 through FY 1999.

to meet the challenges posed by forest fires, overfishing, poaching, deforestation, agricultural encroachment, and mining. Over the past four years, 985,970 hectares in 15 countries have reached the stage of effective management, G/ENV's highest level of conservation, in which partners have documented both strong local management ability and improved environmental quality.

Below are highlights of key results from FY 1999 that exemplify progress being made by governments and communities with G/ENV support to conserve their biological resources.

Key Results in Policy Successes

- With assistance from G/ENV partners, the Indonesian Ministry of Mines and Energy issued a ***new decree assigning itself responsibility to extinguish coal fires***. The new decree is a dramatic change from the previous policy that let fires burn uncontrolled. As a result of the decree, 79 new fires were extinguished in East Kalimantan, 56 of them located in a release area for rehabilitated Orangutans. Because of the new decree and the publicity the project received locally, new coal fires have been reported in several other provinces and, most important, the Ministry is putting out fires on its own without new USAID assistance.
- In the Sierra de Manantlan Biosphere Reserve in Mexico**,** which is part of an internationally recognized area for birds, including habitat for U.S. migratory birds, G/ENV and its partners worked to ***reduce the incidence and severity of forest fires***. New fire-fighting roads were opened, and 138 patrolling trips with local residents were conducted in 1999. As a result, early fire detection and the quick arrival of the fire brigades dramatically lowered the average area burned from each fire, from 502 hectares per fire in 1998 to 204 hectares in 1999.

Key Results in Effective Management

- G/ENV's partners in Indonesia demonstrate how ***community-based natural resources management can lead to significant results for biodiversity conservation***. Since 1995, G/ENV partners have successfully engaged communities in participatory planning exercises that involve developing maps, building consensus on managing traditional lands, and monitoring the results. Often, the need for such a planning exercise arises in response to threats from large-scale logging, mining, farming, or fishing. In the village of Nangka, for instance, the community used information generated by a mapping exercise to expel a logging concession that operated within its traditional forest. In Saham-Bingge, villagers succeeded in preventing the entry of an oil palm plantation into their ancestral lands. And in the village of Raprap, which is adjacent to Bunaken National Park, communities report a decline in destructive fishing practices that have in the past degraded the coral reef. Such small but steady successes have lead to 334,481 hectares achieving the status of effective management in Indonesia alone.

Performance and Prospects

The biodiversity team assesses it annual performance through the Center's value-added indicators and the IR's program indicators, selected by the team and its partners. IR 1.1's performance and its future prospects are described below.

Value-Added Results

In-country field assistance. The team conducted 94 days of in-country technical assistance to USAID/Brazil, Bolivia, Paraguay, Gabon, Guatemala, Namibia, Senegal, RSCA, and Zimbabwe in FY 1999. These figures are significantly less than in the previous year, when the team conducted 183 person days of in-country assistance to 14 missions. This decrease is due mainly to demands for staff to remain in Washington in order to bring the Global Conservation Program and BioFor IQC on line, as well as to the departure of a staff member for a two-year detail with USAID/Bolivia and to another staff member taking an extended leave from the team. Highlights of IR 1.1 accomplishments under this indicator included assistance to Bolivia, Brazil, and Paraguay, where the team worked with key partners to design a corridor conservation program that will protect critical habitat along three major rivers supplying water to the Brazilian and Bolivian Pantanal. In Gabon, the team helped design a participatory monitoring system to measure the impacts of deforestation from agricultural expansion. And in Senegal, the team participated in an evaluation of the Senegal Reforestation Project.

Use of IR1.1 procurement vehicles. Sixteen missions and bureaus obligated $10.9 million through the Environment Center's procurement vehicles for biodiversity conservation, mostly through the Biodiversity Support Program and the new Biodiversity and Forestry IQC. USAID/Nicaragua and Uganda obligated $3.0 million through the BioFor IQC for long-term task orders to improve protected areas management. In addition, Missions contracted task orders to evaluate KEHATI in Indonesia, which is the recipient of USAID's largest biodiversity endowment, and to conduct an assessment for future USAID programming on the status of biodiversity and its conservation in Azerbaijan, Armenia, and Georgia.

Agency Leadership. The team achieved several noteworthy results in support of the Agency's biodiversity agenda. Most importantly, the team awarded cooperative agreement under the five-year, $33 million Global Conservation Program to six leading U.S. conservation organizations to conserve 18 of the world's most biologically rich areas. GCP is considered a pioneering effort in two fundamental ways. It is one of USAID's first programs to take a broad, landscape-development approach that weaves together critical social, economic and ecological considerations and objectives for conservation. In addition, GCP is one of the Agency's first Leader with Associates cooperative agreements. G/ENV developed this new generation agreement in collaboration with the Office of Procurement in order to promote partnerships between the Agency and U.S. non-profit organizations. Other noteworthy results that demonstrate Agency leadership include commencement of the Biodiversity and Forestry IQC, assistance to develop biophysical indicators to measure forest conservation and carbon sequestration, and participation in the design of sustainable financing mechanisms for conserving watersheds in Ecuador and other Latin American countries.

International Leadership. Staff from the Environment Center are actively involved with advancing biodiversity conservation efforts on the international stage. The biodiversity team has been dedicated to helping USAID and its partners fulfill their roles as "learning organizations." The team worked with 29 organizations in FY 1999 to disseminate key information, best practices, and lessons learned in biodiversity conservation and forest management. Efforts included disseminating the lessons learned from the Biodiversity Conservation Network, which supported 20 community-based eco-enterprises throughout Asia and the Pacific, to audiences

within USAID and to the conservation community. Other activities included co-authoring two book chapters on tropical forestry, and analyzing the institutional factors behind Bolivia's successful forestry law for dissemination to senior World Bank staff.

Program Results

Area under Improved Management. Since FY 1996, IR 1.1 has achieved improved management on 22,806,924 hectares, significantly exceeding the FY 1999 target for this indicator of 12,000,000 hectares. Five large sites — the Pantanal wetlands of Bolivia (6.0 million hectares), the Minimtara Foothills of Irian Jaya in Indonesia (0.5 million hectares), the Islas Grandes of Mexico (0.9 million ha), and Lake Hovsgol of Mongolia (0.8 million hectares) — account for 8.3 million of the 10.4-million hectare increase in FY 1999. In contrast to these large sites, the biodiversity team also supported many community-level conservation initiatives in Indonesia and Nepal. In these two countries, 54 sites covering an area of 771,372 hectares achieved improved management status, an average of 14,284 hectares per site. Large differences in the area of new sites under improved management in FY 1999 reflect the diverse nature of IR1.1's portfolio. Other new improved sites this year were located in Brazil, El Salvador, and the Philippines.

Area Under Effective Management. As a result of management successes achieved by G/ENV partners, 985,595 hectares have gained effective management status since FY 1996, nearly 10 percent over the target of 900,000 hectares. These effective sites met two critical conditions: (i) habitat quality has been maintained and/or improved, or the rate of degradation has been reduced; and (ii) local institutions have demonstrated an ability to manage their sites adaptively. Analysis of partner documentation this year found that 31 sites in Indonesia and 2 sites Mexico fully met these two criteria. Together, these new sites cover 124,970 hectares. Since FY 1996, 93 sites in 15 countries have achieved effective management status.

Policy Successes. The biodiversity team also exceeded its target for the number of policy successes, achieving 12 successes, which is above the 10 successes that were targeted, in Brazil, Mexico, and Indonesia. In Brazil, for example, G/ENV partners Conservation International and IESB were particularly influential in getting the government to decree two new protected areas in Southern Bahia, the "Discovery" and "Pau Brasil" National Parks, which will protect 31,000 hectares of the last remnants of the Atlantic Forest ecosystem in the State of Bahia. Most of the other FY 1999 successes were located in Indonesia, where communities and local governments adopted land-use plans and village maps for local policy strengthening.

Future Prospects

Prospects for IR1.1's ability to achieve its future targets are very promising. FY 1999 was a transitional year in which the team devoted substantial energy to launching the Global Conservation Program and the BioFor IQC. The team's major conservation program and procurement vehicles are now in place for the next five years, and Mission interest in utilizing these mechanisms is very strong. Furthermore, the team looks forward to recovering from its 50 percent budget cut to its FY 1999 core funds, and receiving an increase that will help compensate for past shortfalls. With the launching of the White House's $150 million "Greening of the Globe" initiative, the team expects the political environment within USAID and Congress for biodiversity conservation to continue to be supportive. In short, the team expects FY 2000 targets to be fully achieved.

Possible Adjustments to Plans
No major adjustments to the performance monitoring plan and results framework are envisioned, with the possible exception of dropping lower-level indicators no longer in use.

Other Donor Programs
Other major donors active in global biodiversity conservation include the World Bank, the Global Environmental Facility, the International Union for the Conservation of Nature, international programs of U.S. government agencies, such as the U.S. Fish and Wildlife Service, private foundations, and membership organizations such as World Wildlife Fund.

Major Contractors and Grantees
IR1.1 partners include NGOs based in the United States (e.g., Conservation International, The Nature Conservancy, Wildlife Conservation Society, World Wildlife Fund, African Wildlife Federation, Enterprise Works, and others); host country NGOs; consulting firms (Associates in Rural Development, Chemonics International, and others); and other U.S. Government agencies (Department of the Interior).

IR1.1 Performance Data Tables - Indicator 1

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands

APPROVED: 1996 | **COUNTRY/ORGANIZATION:** G/ENV/ENR

RESULT NAME: Effective Biodiversity Conservation and Management

INDICATOR: Area of habitat under *improved* management

UNIT OF MEASURE: Hectares

SOURCE: Reports from partners and cooperators

INDICATOR DESCRIPTION:

Areas under improved management meet two conditions: change in legal status favoring conservation, completion of a local site assessment, participatory design of management actions, development of human and institutional capacity, implementation of management actions, establishment of ongoing monitoring and evaluation system, and demonstration of adaptive management.

Results are reported annually and are **cumulative**.

COMMENTS:

Additions in FY 1999:

Indonesia	769,971	ha	39 sites
Nepal	1,402	ha	20 sites
Mexico	2,011,353	ha	6 sites
Bolivia	6,300,000	ha	4 sites
Central Am.	451,000	ha	2 sites
Mongolia	838,000	ha	1 site
Brazil	2,000	ha	1 site
Philippines	33,200	ha	1 site
	10,406,926	ha	74 sites

Increases in 2001 and onward are expected from the Global Conservation Program (see text).

YEAR	PLANNED	ACTUAL
1996	Baseline	10,000,000
1997	10,300,000	10,500,000
1998	11,000,000	12,400,000
1999	12,000,000	22,806,924
2000	32,522,000	
2001	33,723,000	
2002	36,030,000	
2003	36,500,000	

IR1.1 Performance Data Tables - Indicator 2

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands

APPROVED: 1996 | **COUNTRY/ORGANIZATION:** G/ENV/ENR

RESULT NAME: Effective Biodiversity Conservation and Management

INDICATOR: Area of habitat under *effective* management

UNIT OF MEASURE: Hectares

SOURCE: Reports from partners and cooperators

INDICATOR DESCRIPTION:

Areas under effective management meet two conditions: improvement in habitat quality (the state of native plant and animal populations and the productivity of soil and water), or decrease in the rate of habitat degradation; and demonstration of adaptive management (the institutional ability to monitor and respond to threats and opportunities).

Results are reported annually and are **cumulative**.

COMMENTS:

Additions in FY 1999:

Indonesia	97,167 (32 sites)
Mexico	27,803 (2 sites)
	124,970 (34 sites)

Increases in 2001 and onward are expected from the Global Conservation Program (see text).

YEAR	PLANNED	ACTUAL
1996	Baseline	463,010
1997	630,000	678,426
1998	800,000	861,000
1999	900,000	985,970
2000	1,112,440	
2001	5,900,000	
2002	10,400,000	
2003	11,800,000	

IR1.1 Performance Data Tables - Indicator 3

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands

APPROVED: 1996 | **COUNTRY/ORGANIZATION:** G/ENV/ENR

RESULT NAME: Effective Biodiversity Conservation and Management

INDICATOR: Documented improvements in biodiversity conservation as a result of strengthened policies or improved policy implementation

UNIT OF MEASURE: Number of policy successes

SOURCE: Reports from partners and cooperators

INDICATOR DESCRIPTION:

Policies include laws, regulations, decrees, and agreements that support the conservation and management of biodiversity. Policy implementation can occur at local, regional, national, and international levels, but do not include internal organizational policies. Successful policies include those USAID/G/ENV-supported efforts that lead to documented effective management where on-the-ground conservation benefits are observed.

Reported figures are NOT cumulative.

COMMENTS:

New policy successes in FY 1999:

Brazil, logging prohibited in two natl. parks in Bahia
Mexico, state ecology office, Chiapas woodlands
Indonesia, coal fire suppression mandated,
exclusion of commercial ops in 3 subdistricts,
community land use planning, Donggala,
community land use planning, Cangkang,
community land use planning, Dirung,
rattan gardens management, Pasir
first gov't. process for registering adat land
Forestry Law include adat and conflict resolution
Independent monitoring by Aceh community
Gov't. recognition of adat territories in Nat'l. Park

YEAR	PLANNED	ACTUAL
1996	Baseline	18
1997	16	10
1998	10	10
1999	10	12
2000	10	
2001	13	
2002	20	
2003	24	

IR1.2 Improved Management of Natural Forests and Tree Systems

Self-Assessment

The forestry team activities did not meet the targeted values for two of the three programmatic indicators. After a comprehensive review of all its funded activities, the team concluded that targets that had been based on past actuals may not be an effective tool for measuring progress. As well, the analysis found that there are more activities whose results could *not* be measured by the present activities than there are those that are measurable under the current indicators. Therefore, it is not easy to assess whether the Forestry Program is "on-track" without a closer analysis of these "unmeasured" activities. The analysis is discussed under *Performance and Prospects*.

Summary

The goal of the forestry team (IR1.1) is to decrease the rate of deforestation and degradation of forests by increasing the adoption of sustainable forestry practices, such as reduced impact harvesting (RIH) and forest fire prevention. This intermediate result contributes to the overall SSO1 of "increased and improved protection and sustainable use of natural resources, principally forests, biodiversity, freshwater and coastal ecosystems, and agricultural lands." The forestry team activities build stakeholders' capacity to improve land management by developing and disseminating best current technologies and increasing local participation in the use and rehabilitation of forested land, which contributes to the area-based and policy results of SSO1. Forestry programs are specifically designed to be replicable across a variety of locations and to be complemented by national and international policy reform. The global experience of the team staff make this approach possible.

Key Results

In the forestry program, partners and activities are selected in such a way that the activity results translate to general findings that can be applied the world over. The close partnership of the forestry team with highly competent organizations with international expertise, allows them to tailor general principles to specific locations. In policy work, USAID partner organizations work to encourage policies that support sustainable forestry. The replicability of lessons learned and successful approaches is demonstrated by the following example activities in FY 1999.

Increased demand for training in reduced impact harvesting. Improved forest management is impossible without the knowledge of sustainable forestry techniques; therefore, training and capacity building are a major focus of the forestry program. Examples of successes in this area in FY 1999 include:

- Demonstration plots in Russia were used as part of the training of Russian forestry counterparts. The implementation of the reforestation plots and RIH in the surrounding areas resulted in a total of 4,200 ha under improved management.
- In Brazil, both forestry technicians and private logging company representatives were trained in reduced-impact harvesting. Brazilian forestry officials have requested further training and monitoring assistance for particular sites in the Amazon.
- More than 120 participants from Mexico were trained in six formal courses and 12 technical exchanges as part of the National Fire Prevention and Restoration Program conducted by the

US Forest Service. In addition, over 1,800 rural Mexican residents in 41 different communities were trained in forest fire prevention and suppression techniques.

Number of farmer groups expands. Due to G/ENV-funded activities in Mindanao, the Philippines, the number of Landcare groups expanded to over 200 in six municipalities. These Landcare groups now cover over 250,000 ha, contributing significantly to the program's total area under improved management (see Indicator chart #1, below). These farmer organizations are similar in structure to conservation districts here in the United States, where farmers help each other improve farm management practices and develop marketing acumen. This approach is being considered by the Philippines government as a model for spreading concepts of good management throughout the country.

Reforestation area expands in Russia. The U.S. Forest Service, with funding from G/ENV, assisted the Russian government in improving a tree seedling production system in order to restore degraded land. As a direct result, an estimated 2 million seedlings have been produced and planted in an area of 20,000 ha which can now be said to be under improved management. This successful production system is being adopted for widespread use in the Russian Far East.

Improvements in forestry policy in Indonesia. In Indonesia, USAID, together with the International Center for Research in Agroforestry (ICRAF), worked to develop a recommendation that the export tax on timber be reduced in the case of farm-grown timber, which will take the pressure off of natural forests. An ICRAF proposal to the Ministry of Forestry to revamp the Indonesian National ReGreening Program received Ministry endorsement and ICRAF was instructed to begin full implementation of the research and development of the initiative.

Performance and Prospects

Value-Added Indicators

Indicator 1: G/ENV field-based assistance (TDYs) provided in response to Mission/Bureau requests.

There were few TDYs by the forestry team in FY 1999, partly due to the small staff. Work by a climate change specialist on the team is being reported under the Global Climate Change Initiative. While this indicator only tracks TDYs by G/ENV staff, it is important to point out that substantial field assistance was given directly to the missions by the US Forest Service through the Center's inter-agency agreement. A total of 1,611 person days of technical assistance to 10 missions and bureaus were made possible by this agreement. The number of days is greatest for Russia and Indonesia.

Indicator 2: Mission buy-ins, add-ons, OYB transfers, IQC task orders.

Forestry program buy-ins in the form of field support total $3,779,875 in FY 1999, up from $2,613,000 in FY 1998. Forestry program buy-ins contribute 10% of the total field support contributed by missions and bureaus to G/ENV/ENR programs. Field support consists of buy-ins to the U.S. Forest Service interagency agreement from the following missions or bureaus: Russia, Romania, Albania, LAC Region, Bolivia, Brazil, Guatemala, Africa/SD, and the Bureau for Asia and the Near East (ANE-EAP). The largest buy-ins are from USAID/Albania ($1,263,875) and USAID/Brazil ($930,000 total from three buy-ins).

Indicator 3: Number of USAID policies, strategies, and programs reflecting G/ENV leadership.
Through the inter-agency agreement with the U.S. Forest Service, G/ENV contributed to technical support to missions in Africa, Latin America, Asia, and Russia. In at least three cases, the technical assistance resulted in a change in a Mission's forestry program:

- Program development for USAID/Nicaragua, Honduras, and Dominican Republic for Hurricane Mitch damage assessment and work plans.
- Redesign market survey and drafted terms of reference for a non-timber forest product enterprise assessment in the Panama canal area.
- USFS staff participated in the development of a USAID Caribbean Environmental Strategy, with a focus on forestry and the Guyana Shield.

Indicator 4: Number of international policies, strategies, programs, and projects influenced by G/ENV leadership.
Working with the Ministry of Environment and Ministry of Agriculture in Mexico, G/ENV and the Forest Service helped fund and organize an international forum on the use of fire in agriculture and forestry. This was the first ever forum on fire use and management sponsored jointly by the Ministries of Environment and Agriculture. It provided the first step in a national debate and process to develop an integrated national program on fire policy in agropastoral and forestry systems. As a result of the conference, USAID, ICRAF, and the Mexican government agreed to each fund one-third of the ongoing work in fire suppression.

Cooperation on fire communications equipment resulted in a formal agreement and mechanisms for coordination in fire management among USAID, USFS, WWF and the World Bank, creating the opportunity for leveraging an $80 million World Bank forestry loan in Russia.

Programmatic Indicators
The Forestry Team has undertaken an analysis of all G/ENV-funded activities in its portfolio in order to be able to better track activities from year to year. The need for this assessment arises from the fact that a large part of the Program activities are imperfectly measured by the existing indicators, which track site management in defined areas. A large part of the portfolio consists of forestry training and demonstration activities, which may take place at different sites from year to year depending on the needs of the host country. Rather than depending on descriptions by site, each single definable activity (having an identifiable plan and goal) was given a unique identifying number. These may now be accurately tracked from year to year and also linked to geographic sites. Once the listing of activities was complete, they were assessed for the data they could provide for the three existing indicators: cumulative number of hectares under improved management, cumulative number of hectares under effective management, and number of new policy successes. The two major outcomes of this analysis are:

1) Cumulative figures for 1998 and previous years cannot be reconstructed accurately based on individual sites or activities both because there is not enough documentation of where and how large the sites are and because site management benchmarks for all previous years would have to be known in order to assess whether the higher standard of effective management has been reached. The cumulative figure reported in the past may indeed be correct; the team is unable to verify the exact figure through an addition of all sites and activities. In order to

report actuals for FY 1999, the team added the total of new hectares in FY 1999, which is precisely documented according to the new activity listings, to the cumulative reported in FY 1998.

2) Assessment of those activities which were able to report number of hectares under improved management in FY 1999 can continue under the existing definition of the indicators. However, the majority of G/ENV-funded forestry activities are not adequately measured by the existing indicators. Results of these activities can be described in the narrative of the R4 (some are mentioned here). Additionally, new or supplemental indicators could be devised for these activities, under a revised Forestry Program Performance Monitoring Plan. The need for new measures does not affect the structure of the SSO1 and Intermediate Results. All of the activities in the Forestry Program directly relate to the Intermediate Result and SSO1

In terms of improved management, the team expects an increment equivalent to the increase made in FY 1999. For FY 2000, the team does not expect that effective management will be achieved by activities now reporting hectares under improved management.. As for policy successes, a number of policies have been developed and implemented with the assistance of G/ENV and partners. While it cannot be predicted whether evidence of conservation of forests as a result of these policies can be documented in FY 1999, progress in the implementation and effects of these policies is being tracked. (*See Indicator Chart #3 for a list*). Targets beyond FY 2000 are held at the FY 2000 level until the team completes its activity review.

Possible Adjustments to Plans

The Forestry Program plans to revise its Performance Monitoring Plan in accordance with the findings from the FY 1999 R4 data analysis and activity serialization. New or supplemental indicators may be devised that more completely describe the Program's extensive activities, notably sustainable forestry demonstration and training and forest fire monitoring and control. As well, the program portfolio may itself change substantively.

Other Donor Programs

Other major donors active in sustainable forestry include the World Bank, the Global Environment Facility, the International Development Bank, the International Tropical Timber Organization, the Consultative Group on International Agricultural Research, other U.S. government agencies such as the U.S. Forest Service and the leading non-governmental organizations, for example, World Wildlife Fund and Conservation International.

Major Contractors and Grantees

The Forestry Team's major program is a RSSA through an inter-agency agreement with the U.S. Forest Service. Other partner organizations are the Center for International Forestry Research (CIFOR), the International Center for Research in Agroforestry (ICRAF), and the Tropical Forest Foundation (TFF). The team also manages a support services agreement with the U.S. Department of Agriculture's Foreign Agricultural Service, through which USAID Missions may obtain short-term technical assistance.

IR1.2 Performance Data Tables - Indicator 1

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands

APPROVED: 2/18/1998 **COUNTRY/ORGANIZATION:** G/ENV/ENR

RESULTNAME: Improved Management of Natural Forests and Tree Systems

INDICATOR: Area of natural forest and tree systems brought under *improved* management

UNIT OF MEASURE: Hectares

SOURCE: Reports from partners and cooperators

INDICATOR DESCRIPTION:

Natural forests and tree systems are considered under *improved* management when any of the following steps in site management occurs: site assessment is completed; site/action plan is developed; institutional/community capacity is strengthened; a legal Framework is in place; site management activities are initiated; or monitoring and evaluation is initiated.

Results are reported annually and are **cumulative**.

COMMENTS:
Additional hectares in FY 1999 (hectares improved, program tracking code, country, activity):

400, 99-For-28, Brazil, economic analysis of RIH
100, 99-For-29, Brazil, research on cerrado fires
100,000, 99-For-15, Indonesia, mgmt. Kayan Mentarang NP
500, 99-TFF-01, Indonesia, train concessionaires in RIH
600, 99-TFF-03, Brazil, training in RIH
20,000, 99-For-24, Russia, seedling production
4,200, 99-For-24, Russia, reforestation plots
333, 99-ICR-02, Philippines, Mindanao veg. buffers
5,000, 99-TFF-02, Brazil, RIH on private lands
100, 99-For-39, Mexico, RIH streambank restoration
131,233

YEAR	PLANNED	ACTUAL
1996	Baseline	500,000
1997	632,000	841,200
1998	1,000,000	911,845
1999	1,400,000	1,043,078
2000	1,400,000	
2001	1,400,000	
2002	1,4000,000	
2003	1,400,000	

IR1.2 Performance Data Tables - Indicator 2

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands			
APPROVED: 2/18/1998	**COUNTRY/ORGANIZATION:** G/ENV/ENR		
RESULT NAME: Improved Management of Natural Forests and Tree Systems			
INDICATOR: Area of natural forest and tree systems brought under *effective* management			
UNIT OF MEASURE: Hectares **SOURCE:** Reports from partners and cooperators	**YEAR**	**PLANNED**	**ACTUAL**
INDICATOR DESCRIPTION: Two key conditions must be met for areas to be considered under *effective* management: (1) habitat quality is maintained or improved and/or the rate of habitat degradation is reduced; and (2) institutional ability to monitor and respond to threats and opportunities (adaptive management) is demonstrated. Results are **cumulative**. **COMMENTS:** * No increase reported for FY 1999. There is insufficient documentation to determine whether any of the sites reporting improved management in previous years had reached the effective management benchmark in FY 1999.	1996		
	1997	Baseline	59,200
	1998	60,600	59,400
	1999	62,500	59,400*
	2000	62,500	
	2001	62,500	
	2002	62,500	
	2003	62,500	

IR1.2 Performance Data Tables - Indicator 3

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands			
APPROVED: 2/18/1998	**COUNTRY/ORGANIZATION:** G/ENV/ENR		
RESULT NAME: Improved Management of Natural Forests and Tree Systems			
INDICATOR: Documented improvements in biodiversity conservation as a result of strengthened policies or improved policy implementation			
UNIT OF MEASURE: Number of policy successes **SOURCE:** Reports from partners and cooperators	**YEAR**	**PLANNED**	**ACTUAL**
INDICATOR DESCRIPTION: Policies include laws, regulations, decrees, and agreements that support the conservation and management of biodiversity. Policy implementation can occur at local, regional, national, and international levels, but does not include internal organizational policies. Successful policies include those USAID/G/ENV-supported efforts that lead to documented effective management where on-the-ground benefits are observed. Results are not **cumulative**. **COMMENTS:** A number of policies are being developed or have already been implemented with the assistance of G/ENV and partners. While it cannot be predicted whether evidence of conservation of forests as a result of these policies can be documented in FY 2000, progress in the implementation and effects of these policies is being tracked. The policies are: 99-For-08, Indonesia, work on national forestry law 99-For-18, Romania, mgmt plan for national parks 99-CIF-03, LAC, markets for carbon credits 99-For-09, Indonesia, export tax structure 99-For-14, India, extend community forest mgmt 99-For-16, Albania, forestry framework 99-For-21, Russia, controlled burns 99-For-27, Brazil, national cooperative agreements 99-For-32, Mexico, fire suppression in agroforestry 99-For-49, Guatemala, market access for cert. wood 99-For-64, global, proposals at Intl. Forum on Forests 99-FSG-02, global, community mgmt and treaties	1998		3
	1999	5	0
	2000	3	
	2001	3	
	2002	3	
	2003	3	

IR1.3: Environmental Education and Communication

Self-Assessment

Intermediate Result (IR) 1.3, Environmental Education and Communication (EE&C), is on-track or exceeding targets for each of the indicators measuring program performance. In FY 2000 the EE&C Team will phase out activities under the GreenCOM project and develop a new delivery mechanism for program operations through FY 2005.

Summary

Targeted education and communication programs are essential for public support and action for environmental programs and policies. The Global Environment Center's EE&C program contributes to USAID's overall goal of protecting and managing the environment and natural resources for sustainable development. The Center funds core functions of the GreenCOM project, which strengthens the capacity of developing country agencies, organizations, and community groups to design and deliver EE&C programs and services. The aim is to ensure popular support and needed changes in attitudes, behaviors, and practices relating to environmental issues. Technical assistance focuses on social marketing methodologies and extensive use of popular media, participatory approaches, and both formal and informal education to build public support for environmental programs and policies. Program elements include detailed assessment of problems and target audiences; development of intervention-based communication and education concepts, messages, and strategies; pretesting and revision of intervention elements; demonstration and delivery; and monitoring, evaluation, and program revision. In FY 1999, the Center funded GreenCOM core functions supporting EE&C activities in eight countries: El Salvador, Panama, Mali, Egypt, Tanzania, Uganda, Zambia and Haiti. Assistance was also provided to the Middle East Peace Process, in collaboration with the State Department and other U.S. agencies, to promote greater citizen awareness and support for water conservation in the region.

The EE&C program's ultimate customers are the communities that become more aware of the benefits and value of their natural resources. Institutional strengthening and small grants to non-governmental organizations (NGOs) improve their capacity and effectiveness in implementing environmental protection and conservation programs. Governments benefit as USAID strengthens their capacity to formulate and implement effective communication and education in support of natural resource policies and programs. Both developed and developing countries benefit as natural resources are conserved and managed for sustainable use.

Key Results

In FY 1999, the EE&C program achieved several prominent results:

- Radio journalists from 29 community-radio stations in Mali were trained to develop and transmit targeted environmental education messages. These 29 stations reach 60% of Mali's 10 million people.
- Egyptian television stations ran TV spots on water conservation 1,028 times at no charge; these were seen by nearly 26 million people
- Three municipalities in the critical Panama Canal Watershed created Municipal Environmental Commissions charged with drafting their own Municipal Environmental Plans

- The Coastal Environment Award Scheme in Tanzania reached over 15,000 members of the coastal community, highlighting local actions and building political support for protecting the coastal environment
- "Exploring Human Nature," a manual of EE&C strategies for international development, was developed for dissemination to practitioners worldwide

The EE&C program was particularly active in supporting improved water management and conservation. For example:

Salvadorans see water quality as a priority: In partnership with USAID/El Salvador, the project designed and delivered a national water-quality campaign for the Ministry of Environment, targeting 18 priority municipalities. The campaign consisted of radio and television broadcasts, community outreach, and posters and publications. After the first three years in El Salvador, during which GreenCOM specifically sought to raise awareness nationwide about environmental issues, a USIA study found that 86% of Salvadorans considered environmental problems, especially water quality, to be a priority that the government and citizens must address immediately. Consequently, GreenCOM focused on water issues in years four and five (FY 1999), resulting in increased citizen involvement and local policy work. The number of water user groups organizing local water projects doubled in one year. The number of municipal water regulations issued or under discussion jumped from zero to 17.

The El Salvador program is an example of EE&C interventions involving local communities and national institutions (IR 1.3) to promote increased protection of natural resources (SSO1). The benefits of increased public awareness and local participation are reflected in communities having a direct role in managing their water resources (both supply and quality).

Egypt increases the number of farmer groups saving water: GreenCOM, together with the USAID Mission and Egypt's national water resource agency, expanded a program in which district engineers train farmers' groups in ways they can conserve water. At the conclusion of GreenCOM assistance in FY 1999, there was a nearly 200% increase in the number of meetings being held by the district engineers, who themselves demonstrated a 122% increase in their knowledge of conservation practices they can transfer to the farmers. The field engineers reported a corresponding increase in the number of farmers actually employing the water-saving practices.

Municipal watershed management strengthened in Panama: GreenCOM strengthened the ability of local governments to manage the watershed that supplies freshwater to the canal itself and to the population centers around it. As a result of GreenCOM activities in FY 1999, new government bodies were created in three pilot municipalities selected by the program. The municipal councils agreed to create Environmental Commissions, which are now in the process of writing environmental management plans, with the assistance of GreenCOM. Participants include municipal council members, community leaders, and representatives of NGOs and national government agencies.

Performance and Prospects

Value-Added Indicators:

Indicator 1: G/ENV field-based assistance (TDYs) provided in response to Mission/Bureau requests.

EE&C team members contributed 17% (55 days) of the total TDYs reported by SSO1 in FY 1999. In conjunction with the Mid-East Peace Process, EE&C assisted the Jordan mission in developing a RFA for environmental education. The team also performed TDYs for project management and activity review for USAID El Salvador and Panama.

Indicator 2: Mission buy-ins, add-ons, OYB transfers, IQC task orders.

The Africa Bureau and USAID Tanzania transferred a total of $234,557 to GreenCOM in FY 1999 for EE&C field support. In addition, Mission-funded task orders in Panama, Egypt, and India totaled $ 5,894,059.

Indicator 3: Number of USAID policies, strategies, and programs reflecting G/ENV leadership.

EE&C collaborated with other SSO1 team members to develop a strategy for environmental education and communication for USAID Mozambique.

Indicator 4: Number of international policies, strategies, programs, and projects influenced by G/ENV leadership.

The majority of EE&C travel in FY 1999 supported implementation of water conservation activities as part of the Middle East Peace Process. The EE&C Team provided lead facilitation and guidance for a Department of State-funded multilateral activity involving Jordanian, Israeli, and Palestinian education and water specialists who worked together to design a middle school water conservation curriculum.

Programmatic Indicators

In each case, actual values for FY 1999 are discussed and compared to the targets for FY 1999. The figures are found in the tables that follow. Note that targets have not yet been set for FY 2001 and beyond because the GreenCOM Project is closing out in FY 2000 and a new EE&C delivery mechanism is being developed. Accordingly, possible adjustments to performance monitoring baselines, indicators, and target values may be established in FY 2000. This will be reported in next year's R4.

Intermediate Result 1.3, Indicator 1: Number of agencies, institutions, and NGOs where EE&C strategies, methods, and tools have been tested and applied systematically in environment-related programs.

The total number of organizations reported by the five GreenCOM country programs exceeded by 19% the target set for FY 1999. The strong performance in this area was due to activities in all five GreenCOM countries, but most noticeably in Mali where school linkages with community radio and other community-based organizations dominated the EE&C program.

Lower-Level Result 1.3.1, Indicator 1: Number of service providers receiving guided practice and training in the development and use of EE&C strategies, methods, and tools.

A total of 2,523 service providers in five countries received training in the development and use of environmental education strategies and methodologies. Persons trained included leaders of

community groups, local government officials, journalists, teachers, NGO staff, and government technicians.

Lower-Level Result 1.3.1, Indicator 2: Number of trainees and service providers reporting changes in knowledge, skills and attitudes toward environmental issues in key countries.
The number reported for FY 1999 is 91% of the target. Panama and Egypt did not report on this indicator in FY 1999 but provided other measures of changes in behavior. For example, an Egyptian government survey of technicians assisting farmers reported the following indications of changed attitude among the technicians: 89% increase in the number of technicians knowledgeable of and promoting Water Use Associations, and a 111% increase in the number of technicians who hold meetings with farmers as a way to promote water conservation.

Lower-Level Result 1.3.2, Indicator 1: Index measuring quality and effect of participation among stakeholders in policy interventions.
The index is a value ranging form 0 to 5 and is calculated by scoring a series of 13 criteria to assess each program activity. For example, survey questions include "Were those in power supportive of and/or participating in the activity?" and "Was the impact on gender roles assessed and accommodated?" The average index for the five program countries is 4.4, higher than the FY 1998 and slightly exceeding the target for FY 1999 (4.0).

Lower-Level Result 1.3.3, Indicator 1: Number of people exposed to GreenCOM information via all media.
The number of people exposed to GreenCOM environmental media far exceeded the expectations set in FY 1998. In FY 1999, this value more than doubled. A national media campaign in Egypt, in which 87% of the population was reached, was the main reason for this large increase. This indicator is perhaps the most concrete expression of the work that GreenCOM does. Educating key decision makers and documenting the changes that result are important goals and are accounted for in the performance monitoring; however, the total number of people reached is also significant. GreenCOM communication projects may be targeted for a specific community or group of communities (e.g., the municipalities along the Panama Canal) or an entire country, as was the case with the national media campaign in Egypt. All activities are carried out with the full support, and often at the invitation of, the relevant government bodies.

Lower-Level Result 1.3.4, Indicator 1: Number of targeted professionals (individuals) receiving EE&C publications, bulletins and materials.
This indicator also exceeded the target for FY 1999. A total of 4,800 individuals received the GreenCOM bulletin "Human Nature," which is issued quarterly to practitioners in all geographic regions served by USAID.

Possible Adjustments to Plans
Additional or revised performance measures may be developed for the EE&C program in concert with a new delivery mechanism becoming operational in late FY 2000. The GreenCOM Technical Advisory Group (TAG) met in January 2000 and made recommendations for the follow-on global EE&C program. The activity portfolio, adjusted Performance Monitoring Plan, and funding level for the new program have not yet been finalized at the time of this R4.

Other Donor Programs

Several donors have contributed to GreenCOM or similar projects in different countries. Examples include: the White House GLOBE program which is working in Russia and Jordan; the UNDP and World Bank funded workshops and local involvement for a national environmental education strategy for Malawi; GreenCOM collaboration with a UNDP funded local organization to set up education and management for a new water delivery system for 200,000 people in Haiti; GreenCOM collaboration with the University of Rhode Island in Tanzania where work has been based on pilot sites established by other donors; several U.S. government donors involved in the Middle East Peace Process, including USIA, USIS, USGS, and the State Department.

Principal Contractors, Grantees, or Agencies

The principal GreenCOM contractor is the Academy for Educational Development (AED). A new contract for "GreenCOM II" will be competitively awarded in late FY 2000.

IR1.3 Performance Data Tables - Indicator 1

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands			
APPROVED: 2/18/98	**COUNTRY/ORGANIZATION:** G/ENV/ENR		
RESULT NAME: Environmental Education and Communication (EE&C) strategies, methods, and tools systematically applied in USAID-assisted countries			
INDICATOR: Number of agencies, institutions, and NGOs where EE&C strategies, methods, and tools have been tested and applied systematically in environment-related programs			
UNIT OF MEASURE: Number of agencies, NGOs, and institutions (cumulative)	**YEAR**	**PLANNED**	**ACTUAL**
SOURCE: Contractor reports	1996	Baseline	17
INDICATOR DESCRIPTION: This indicator is the only **cumulative indicator** in the results framework and reflects the number of agencies, institutions, and NGOs that have systematically (using the approach outlined in the overview) applied EE&C strategies, methods, and tools as an integral part of an environmental program. Examples include national media campaigns, community mobilization programs, school based EE programs, and EE&C strategy development. * These projections are based on a trends analysis and will be adjusted as additional Missions submit requests for technical assistance. **COMMENTS:** The total of 49 is obtained from five countries: 4 El Salvador 4 Panama 33 Mali 1 Egypt 7 Tanzania 49 Targets for 2001 and onward are pending completion of a new delivery mechanism in 2000.	1997	23	24
	1998	34	36
	1999	41	49
	2000	52	
	2001		
	2002		
	2003		

IR1.3 Performance Data Tables - Indicator 2

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands

APPROVED: 2/18/98 **COUNTRY/ORGANIZATION:** G/ENV/ENR

LOWER-LEVEL RESULT NAME: 1.3.1 Improved capacity of agencies/NGOs to design and implement EE&C programs in key countries

INDICATOR 1: Number of service providers receiving guided practice and training in the development and use of EE&C strategies, methods, and tools

UNIT OF MEASURE: Individuals

SOURCE: Contractor reports

INDICATOR DESCRIPTION:

This indicator reflects the degree of outreach to agency, ministry, nongovernmental, community, and grassroots organization staff participants receiving training and guided practice in EE&C as a direct result of interventions I nthe field. This indicator also includes journalists trained in environ-mental issues under specific interventions. Key countries indicate a long-term funding commitment for EE&C programming and delivery.

COMMENTS:

1,648 El Salvador
107 Panama
174 Mali
335 Egypt
259 Tanzania
2,523

Targets for 2001 and onward are pending completion of a new delivery mechanism in 2000.

YEAR	PLANNED	ACTUAL
1996	Baseline	5,781
1997	2,000	2,916
1998	946	3,728
1999	2,265	2,523
2000	1,000	
2001		
2002		
2003		

IR1.3 Performance Data Tables - Indicator 3

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands			
APPROVED: 2/18/98	**COUNTRY/ORGANIZATION:** G/ENV/ENR		
LOWER-LEVEL RESULT NAME: 1.3.1 Improved capacity of agencies/NGOs to design and implement EE&C programs in key countries			
INDICATOR 2: Number of trainees and service providers reporting changes in knowledge, skills, and attitudes toward EE&C in key countries			
UNIT OF MEASURE: Number of trainees	**YEAR**	**PLANNED**	**ACTUAL**
SOURCE: Contractor reports	1996	—	—
INDICATOR DESCRIPTION: This indicator measures the number of trainees who report changes in knowledge, skills, and attitudes toward EE&C resulting from training and guided practice activity. **COMMENTS:** The total of 816 is obtained from three countries. Panama and Egypt did not report on this indicators. 127 El Salvador 430 Mali 259 Tanzania 816 Targets for 2001 and onward are pending completion of a new delivery mechanism in 2000.	1997	—	—
	1998	Baseline	1,362
	1999	900	816
	2000	750	
	2001		
	2002		
	2003		

IR1.3 Performance Data Tables - Indicator 4

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands

APPROVED: 2/18/98 | **COUNTRY/ORGANIZATION:** G/ENV/ENR

LOWER-LEVEL RESULT NAME: 1.3.2 Demonstrated use of popular participation as a key EE&C approach in environmental policy formulation and promotion.

INDICATOR 1: Index measuring quality and effect of participation among stakeholders in policy interventions

UNIT OF MEASURE: Index score

SOURCE: Contractor reports

INDICATOR DESCRIPTION:

Index — The index here is made up of 13 different elements that experts in participation have suggested are critical to good participation. It virtually never happens that all of these elements are present. However, the more of these elements that are present and the more prominent each of them is, the stronger the higher level of participation has taken place. These ratings are done at the time of the participatory event and, over time, if participatory techniques improve, the index should increase by fractions of a point. Some of the elements tend to be somewhat or very limited depending on cultural or political norms, so that a score of five is not possible.

COMMENTS:
The bottom figure (4.38) is an average of the five program countries.

5.0 El Salvador
2.8 Panama
4.7 Mali
5.0 Egypt
4.4 Tanzania
4.38

Targets for 2001 and onward are pending completion of a new delivery mechanism in 2000.

YEAR	PLANNED	ACTUAL
1996	—	—
1997	—	—
1998	Baseline	3.8
1999	4.0	4.4
2000	4.0	
2001		
2002		
2003		

IR1.3 Performance Data Tables - Indicator 5

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands

APPROVED: 2/18/98 | **COUNTRY/ORGANIZATION:** G/ENV/ENR

LOWER-LEVEL RESULT NAME: 1.3.3 Demonstrated use of media as a key EE&C approach to increase frequency of exposure to environmental message and issues

INDICATOR 1: Number of people in key countries exposed to environmental issues via all media

UNIT OF MEASURE: Number of individuals exposed (in millions of people)

SOURCE: Contractor reports

INDICATOR DESCRIPTION:

Mass media, interpersonal campaigns, interpretive materials, school curriculum materials, and radio and print campaigns are important tools to increase awareness and provide a variety of channels to reinforce and promote environmental message. This indicator measures the reach and depth of environmental communication programs, reflecting the number of individuals exposed to messages, whether it be through mass media campaigns, interpretive programs in protected areas, or interpersonally mediated programs and communities. Again, "key countries" refers to USAID missions where there is long-term presence in the development of EE&C programs.

COMMENTS:
The figure reported in the total from four program countries. (Panama has not begun a media campaign.)

2,498,000	El Salvador
4,372,500	Mali
25,838,000	Egypt
280,000	Tanzania
32,988,500	

Targets for 2001 and onward are pending completion of a new delivery mechanism in 2000.

YEAR	PLANNED	ACTUAL
1996	—	—
1997	—	—
1998	Baseline	11.2 m
1999	18 m	33 m
2000	20 m	
2001		
2002		
2003		

IR1.3 Performance Data Tables - Indicator 6

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands			
APPROVED: 2/18/98	**COUNTRY/ORGANIZATION:** G/ENV/ENR		
LOWER-LEVEL RESULT NAME: 1.3.4 Materials and information disseminated on EE&C strategies, methods, and tools			
INDICATOR 1: Number of targeted professionals receiving bulletins and materials			
UNIT OF MEASURE: Number of individual professionals	**YEAR**	**PLANNED**	**ACTUAL**
SOURCE: Contractor reports	1996	Baseline	1,138
INDICATOR DESCRIPTION: This indicator reflects the number of professionals in environment-related fields and environmental educators receiving bulletins and materials on a regular basis, reflecting lessons learned in the field, as well as responses to specific requests for materials and information. **COMMENTS:** The principal bulletin of the program is Human Nature, published in three languages. Number of recipients: 3,000 English edition 1,500 Spanish edition 300 French edition 4,800 Targets for 2001 and onward are pending completion of a new delivery mechanism in 2000.	1997	1,250	1,286
	1998	1,400	1,596
	1999	1,000	4,800
	2000	4,800	
	2001		
	2002		
	2003		

IR1.4 Increased Conservation and Sustainable Use of Coastal and Freshwater Resources
Summary and Self-Assessment

Among the many activities supported by IR 1.4, the CRMII program works in four key countries and three regions to build local and national capacity for integrated management of coastal resources. CRMII interventions are measured at the highest level by the area under improved management and effective management and by the number of policy successes. Overall progress towards results is on-track, although the one target for effective management was not met, and two of the thirteen 'policy successes' were not achieved (see below). The numbers alone, however, do not reflect the continued gains being made in locations that were already counted in prior years; these qualitative gains are reflected in more detailed descriptions that follow.

Key Results

National Policy Initiatives. CRMII's work in Tanzania during FY 1999 saw the Tanzanian Coastal Management Partnership (TCMP) make excellent progress towards the formulation and adoption of a national coastal policy. The TCMP's work is leading the East Africa region in meeting the political call for integrated coastal management at the national policy level. The initial issues, goals, and strategies for the country's coastal policy/program have now been approved by the directors of all key government departments, and will guide the ICM policy/program to be submitted to Cabinet in 2000.

In Indonesia, "*Reformasi*" (the populist term for government reform since the Soeharto era) is changing the political landscape at an unprecedented pace. Decentralization, participation, and transparency are *Reformasi* pillars, and projects launched at CRMII sites are making these values tangible. In Blongko, North Sulawesi, a community-based marine sanctuary has become a model for replication nationwide. Likewise, the *Coastal Resources Atlas of Lampung Province*, which was developed through broad and unprecedented participation, is being hailed by the Minister of Home Affairs as a model that all provinces should follow. Complementing these on-the-ground activities, CRMII policy advisors and partners are playing a key role in formulating regulations for a new national law that grants authority to the provinces to manage coastal resources out to a 12 nautical mile limit.

Promoting Economic Opportunity. Tourism and fisheries are important economic development sectors in many places worldwide, but sometimes return few economic benefits to local residents. In the community of Laguna Guerrero, Mexico, people are now reaping economic benefit from tourism. CRMII worked with villagers to train and organize a group of tour guides who now, together with local fishermen, use their knowledge and skills to guide sport fishermen attracted to the area for recreation. Along the relatively undeveloped Costa Maya, CRMII continues to work with the private sector and government to formulate and promote voluntary adoption of the low-impact tourism and development practices outlined in the *Normas Practicas*, published by CRMII in 1998.

In Tanzania, mariculture is both an important coastal issue and an economic opportunity. The *Tanzania Mariculture Issues Profile*, describing the issues and opportunities related to management and development of a sustainable mariculture industry in Tanzania, was completed and published in 1999. The *Profile*, which also sets out a national agenda for the development of mariculture guidelines, was approved by directors from key government departments.

In Indonesia, *Proyek Pesisir*, working with industry, NGOs, and government agencies, has played a lead role in assisting the Director General for Tourism in the formulation of a national policy and guidelines for ecotourism, particularly in relation to marine ecotourism.

Empowering Communities to Manage their own Resources. In North Sulawesi, Indonesia, preliminary results from the community-based monitoring of the Blongko marine sanctuary indicate increased fish abundance resulting from habitat protection. The provincial government and Minahasa Regency are requesting funds to begin replication of this initial conservation success to other villages.

CRMII helped Kenya's Coastal Management Steering Committee protect Kenyatta Beach as a public use area. Kenyatta Beach is the only remaining public access site on the North Coast, an intensely developed tourism area north of Mombasa. It is where fishermen store their gear and land their catch, where local boat operators meet clients to take them into the adjacent marine park, and where local residents go to relax. Yet, in spite of extensive public use, there was danger that rights to it would be allocated to a private developer. Kenyatta Beach is now permanently under public control, with supporting infrastructure, services, and management becoming well established.

The participatory, community-based strategies and practices piloted in Xcalak, Mexico are being noticed and replicated in neighboring communities with the support of CRMII and leveraged funds. The University of Quintana Roo (UQROO), a key CRMII Mexico partner, has initiated the first steps of the ICM process in two communities—Laguna Guerrero and Raudales—within the Chetumal Bay Manatee Sanctuary. UQROO is helping each community create a vision of where it wants to go in the future.

Building ICM Capacity and Networks. To enable universities to play a more effective role in coastal management planning, policy, and education, 11 state and private universities in Indonesia, including Bogor Agricultural University and its Centre for Coastal and Marine Resources Studies—a key CRMII *Proyek Pesisir* partner—have established the Indonesian Coastal University Network (INCUNE). INCUNE, with leveraged support, is preparing a strategic plan and prospectus.

In Mexico, the University of Quintana Roo (UQROO) faculty and leaders agreed to develop an ICM program of the University that will integrate research, academics, extension, and outreach. CRMII assisted the group in this effort, providing input to the process in the form of advice, information, and materials. CRMII has also supported regional NGO networks involved in community-based resource management. A strategy for the Quintana Roo network was drafted in January 1999. UQROO faculty and staff will contribute to this year's Summer Institute in Coastal Management in Rhode Island for international coastal management practitioners.

CRMII, in partnership with the Western Indian Ocean Marine Science Association (WIOMSA) delivered a two-week ICM course. Twenty-eight professionals attended the course from South Africa, Madagascar, Mozambique, Kenya, and Tanzania. Several of Africa's leading coastal management practitioners received experience as trainers and facilitators during the course.

Participants "learned by doing" and came to understand the elements of a strategically designed integrated coastal management program, and the strategies, tools, and techniques that promote program effectiveness and sustainability.

Performance and Prospects

Value-Added Indicators

Indicator 1: G/ENV field-based assistance (TDYs) provided in response to Mission/Bureau requests.

Water team members contributed 88 days (28% of ENR total) of technical assistance in the form of TDYs to missions and bureaus. Among the activities were:

- Central Asian Republics (CAR) - Provided a team leader and assisted in the production of an Assessment of Water Resources in the CAR. Prepared and finalized the report as background for the development of the "Integrated Natural Resources Management" Strategic Objective for the USAID/CAR Mission.
- Dominican Republic, El Salvador, and Honduras - Assisted in the development and implementation of workshops and other capacity building to decentralize water supply and sanitation services.
- Honduras - Assisted with conducting a Workshop sponsored by NOAA National Weather Service (NWS) that was attended by all the hydrometeorological services of Central America, and several other countries of the Caribbean and South America. The Workshop resulted in the drafting of a program for strengthening the Flood Warning and Forecasting Capacities of the countries in Central America and received more than $7million in LAC Bureau MITCH Reconstruction funding. DOC/NOAA signed a $17 million agreement with USAID's LAC Bureau for carrying out Mitch reconstruction activities.
- Indonesia - Provided technical and managerial leadership of CRMII program.
- Morocco - G/ENV assisted USAID/Morocco prepare its "Country Development Strategy 2000-2004" by reviewing field activities and documentation for SO 6 Improved Water Resources Management.
- Southern African Development Community (SADC) - Provide guidance for the development and implementation of a capacity building training program on the management of transboundary river basin management in Southern Africa, July 1999.
- Tanzania - Provided technical and managerial leadership of CRMII program.

In addition, there are a number of examples of technical assistance given that are not measured by TDYS; for example, the water team reviewed the scopes of work for water management activities in Morocco, Jordan, and southern Africa, which were successfully contracted, and prepared and forwarded reference material on desalinization to the West Bank/Gaza Mission.

Indicator 2: Mission buy-ins, add-ons, OYB transfers, IQC task orders.

Mission and bureau contributions to field support for water programs totaled $6,194,375. This represents 45% of mission support to ENR programs through field support (mechanisms other than IQCs). In addition, missions and bureaus began to access the Water IQC in FY 1999. In FY 1999 alone, the buy-ins totaled $3,803,699. The number and value of buy-ins is expected to increase in FY 2000. The FY 1999 buy-ins included:

- Jordan - surface and groundwater management

- Morocco - expanded development and implementation of activities to support the mission's SO-6 in Integrated Water Resource Management
- Southern African Development Community (SADC) - development and implementation of a training program on the management of transboundary water resources

Indicator 3: Number of USAID policies, strategies, and programs reflecting G/ENV leadership.
The water team reports a number of examples of Agency leadership in FY 1999:

- G/ENV Environment Officers Training Workshop - Assisted in the preparation and implementation of the integrated water resources management sessions and supporting documentation at the Environmental Officers Training Workshop, July 25 through August 1, 1999 in Warrenton, Virginia.
- Coastal Resources Management II (CRM II) Cooperative Agreement with the University of Rhode Island - ENR continues to provide technical and managerial leadership of CRMII program that strongly influences outcomes in key countries.
- USAID-NOAA Humanitarian Assistance in Flood Forecasting - Worked closely with the BHR/OFDA to amend the G/ENV IAA with NOAA transfer $64,000 from OFDA to NOAA to carry out a mission to Vietnam to design a flood forecasting system for the Red River that flows through Hanoi, which was completed in the last quarter of FY 1999 and the first quarter of FY 2000. Also worked closely with EAPEI to implement activities through the NOAA IAA totaling more than $500,000 in FY 1999.
- USAID/CAR Strategic Objective in Integrated Natural Resources Management - Prepared and finalized the Assessment of Water Resources for the region as background for the development of the Strategic Objective for the USAID/CAR Mission.
- USAID/RCSA strategy document "Towards Sustainable Water Resources Management in Southern Africa" - Reviewed and prepared detailed comments on the document. The purpose of this report is to provide strategic direction for the involvement of RCSA in regional water issues in Southern Africa.

Indicator 4: Number of international policies, strategies, programs, and projects influenced by G/ENV leadership.

- The CRMII-led, multi-donor "Common Methodology for Learning" initiative gained momentum this year and is having a positive impact on several developing nations and the donor community at large. The initiative produced English and Spanish versions of *A Manual for Assessing Progress in Coastal Management* that is based on an accepted set of ICM management principles and practices. Several international organizations co-supported the development of the manual and its application to field programs.
- In FY 1999, CRMII continued to play a major role in worldwide coral reef management and conservation efforts. CRMII staff *was* involved in planning the International Tropical Marine Ecosystems Management Symposium (ITMEMS) held in Townsville, Australia in November 1998. CRMII's pioneering work in coral reef management and marine protected areas in Mexico and Indonesia was also featured at the symposium. News and information from ITMEMS were then disseminated through a special coral reef issue of the *InterCoast* newsletter published in spring of 1999.
- Africa Water Resources Policy *Conference* - G/ENV sent a USAID delegate to this conference hosted by the World Bank and UNEP in Nairobi, Kenya, May 1999.

- Alliance of Small Island States (AOSIS) - For a discussion on AOSIS at the UN General Assembly in September, 1999, G/ENV prepared a packet of information on all U.S. assistance activities which contribute to meeting the *Barbados Plan of Action.* Two representatives from G/ENV attended and the DAA was second in command of the U.S. delegation. A major concern for USAID and many small island nations is related to global climate change and the attendant rise in sea-levels; AOSIS raised this topic at the General Assembly to broaden awareness of the threat to their members. The event resulted in the EAPEI program (a State-USAID initiative) setting aside funds to help protect coral reefs in East Asia and the Pacific. In addition, it prompted USAID's Global Bureau to provide support to the UN Convention on Biological Diversity to hold an "expert consultation" on the problem of coral bleaching, which kills reefs that protect low-lying coastal areas from erosion and high winds such as hurricanes.
- Coral Reef Task Force - The DAA and a State Dept. representative are co-chairs to the International Working Group of the U.S. Coral Reef Task Force, whose institutional members include 11 federal agencies and 7 states and territories. In FY 1999, the IWG helped design strategies for international assistance for conservation and sustainable management of coral reefs throughout the world, with particular emphasis on the wider Caribbean, East Asia, and Pacific regions. These strategies were in turn useful for developing USAID's Caribbean Regional Strategy and the EAPEI.
- Hurricane Mitch and Hurricane Georges Reconstruction Efforts - Assisted USAID and NOAA in the implementation of $17 million worth of reconstruction and forecasting activities in Central America. Also assisted USDA/FAS to design its watershed rehabilitation and rural reconstruction activities for Nicaragua, Honduras, El Salvador, Guatemala, Haiti and the Dominican Republic.
- International Coral Reef Initiative (ICRI) - The initiative was initiated by USAID, State Dept., and NOAA in 1994 as a "partnership" (i.e., non-binding) agreement and forum for promoting better protection of coral reefs and improved capacity-building for member countries. Today, numerous countries and other bilateral and multilateral donors have signed on.
- International Tropical Marine Ecosystem Management Symposium - In FY 99, G/ENV helped in the design and planning of the symposium, sponsored by ICRI. USAID sent 13 delegates and a total of 350 delegates attended from 49 countries. The symposium led to a consensual "renewed call to action" on protecting coral reefs by the hundreds of participants in attendance.
- Nile River Basin Initiative (NBI) - Engaged USAID through the preparation of a transboundary strategic environmental analysis in the multi-donor Nile River Basin Initiative (NBI) led by the World Bank. Have coordinated policy issues on this closely with State/OES, Embassies and USAID offices in the subregion. Also, through funding from G/ENV, ANE and AFR Bureaus and with G/ENV/DAA leadership, USAID is assisting in the development of the Shared Vision Program for the Nile Basin Initiative by providing strategic environmental analysis as part of the socio-economic, environmental and sectoral analyses being supported by a multi-donor consortium led by the World Bank.

Programmatic Indicators

Indicator 1: Cumulative area of habitat (in hectares) under improved management.

CRMII and the earlier CRMI project have, cumulatively through FY 1999, achieved 'improved management' for 2,663,507 hectares of coast in six countries across Asia, East Africa, and Latin America. The large increase in this number from FY 1998 reflects the rapid launching of ICM initiatives at two large field sites (Lampung Province and Balikpapan Bay) in Indonesia, the substantial progress made on a coast-wide mariculture strategy for Tanzania, and the addition of two community-based initiatives in Chetumal Bay, Mexico. Lampung Province accounts for 1.6 million hectares, where a major natural resource assessment is now complete, local capacity is strengthened, and an action-planning process is underway for the area bounded by coastal village boundaries and the 12nm limit described in the new marine law (Law 22/1999).

The team expects to report an additional 1.25 million hectares under improved management in Indonesia and Mexico. Also, in 2001 a major success is expected for coastal management of the Gulf of California, Mexico (28,300,000 ha)

Indicator 2: Cumulative area of habitat (in hectares) under effective management. CRMII sites that have achieved 'effective management' remain at nine sites in eight countries totaling 227,863 hectares, below the targeted 243,863. Costa Maya, Mexico had been targeted to reach effective management for FY99; however, the monitoring strategy for that site is still under development. Hence, while the number of hectares has not changed, the scope and significance of impacts at each site continue to expand, providing benefits to coastal inhabitants and generating experience that can better inform national efforts and promote replication**.** In FY 2001 - 2002, significant increases are expected in areas of Indonesia; Lampung Province, Balikpapan Bay, and Minahasa.

Indicator 3: Documented improvements in biodiversity conservation as a result of strengthened policies or improved policy implementation. Effective coastal governance requires that effective ICM strategies and policies be developed, adopted, and implemented. Hence, much of CRMII's work is directed at formulating and implementing such strategies and policies that can serve as regional and global models. There were 13 policy successes targeted in FY99 and 11 were achieved. The successes are significant and diverse—ranging in scale and scope from a national mariculture action strategy in Tanzania to a fisheries agreement among artisanal fishermen and a tourism cooperative in Xcalak, Mexico.

In Indonesia, during a period of rapid political change that is moving the nation from a highly centralized, authoritarian state to a decentralized democracy, CRMII's pioneering Blongko Marine Sanctuary made tangible the meaning of local stewardship and governance of coastal resources. When the provincial government officially endorsed the local ordinance authorizing the marine sanctuary, Blongko became a policy success of national significance and a symbol for "bottom up" management in Indonesia.

In the Costa Maya region of Mexico—a pristine area targeted for tourism development—the voluntary use of guidelines for the development of low-impact tourism was promoted within the government and the private sector. The guidelines have been so well-received that state government is now considering adoption of these as regulatory standards. Meanwhile in Xcalak,

the residents focused on the imminent threat of large-scale tourism development, and propelled their own community vision into meaningful management action, including the implementation of a fisheries management plan and the design and adoption of a community tourism strategy.

The two targeted, but unrealized, policy achievements were the federal designation of the Xcalak National Park in Mexico, and the adoption of a Water Conservation Strategy at a pilot site in Kenya. In Mexico, an election resulted in the total turnover of state government officials which has delayed park designation during FY99. On the Kenyan coast, hoteliers became focused on increasing occupancy rates due to a very poor tourist season and project partners there were unable to gain their attention on water issues.

The team expects a suite of policy successes to take place in Mexico, Kenya, and Tanzania in FY 2000.

Possible Adjustments to Plans
The water team does not anticipate major adjustments to plans in FY 2000.

Other Donor Programs
The major donors involved in water and coastal resource management are the World Bank and other multilateral banks, as well as the Global Water Partnership, the World Water Council, and the governments of Sweden, Canada, France, the Netherlands, and Japan. USAID has taken the lead in coordinating the work of the U.S. inter-agency group (including State Department, the National Oceanic and Atmospheric Administration, and the Environmental Protection Agency) working with the international community towards a World Water Vision.

Major Contractors and Grantees
The Water team manages a cooperative agreement in coastal resources management with the University of Rhode Island, an interagency agreement with the National Oceanic and Atmospheric Administration, and an Integrated Water and Coastal Resources Management indefinite quantity contract with Development Alternatives, Inc., Associates in Rural Development, Inc., and Hagler Bailly Services, Inc.

IR1.4 Data Performance Tables - Indicator 1

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands			
APPROVED: 2/18/98	**COUNTRY/ORGANIZATION:** G/ENV/ENR		
RESULT NAME: Increased conservation and sustainable use of coastal and freshwater resources			
INDICATOR: Area in key countries/regions with *improved* ICM programs			
UNIT OF MEASURE: Hectares	**YEAR**	**PLANNED**	**ACTUAL**
SOURCE: Reports from partners and cooperators	1996	Baseline	725,400
INDICATOR DESCRIPTION: Coastal and freshwater systems are considered under *improved* management when any of the following steps in site management occurs: site assessment is completed; site/action plan is developed; institutional/community capacity is strengthened; a legal framework is in place; site management activities are initiated; or monitoring and evaluation is initiated. - Areas are derived from actual dimensions of designated sites or are conservatively approximated by multiplying the relevant length of coastline by one kilometer. Thus, 1 km of coastline is equivalent to 100 ha. of coastal zone. - Results are **cumulative**. **COMMENTS:** Cumulative hectares reported in FY 1999: 223,700 Ecuador, national coast, 1996 162,500 Thailand, management areas, 1996 308,200 Sri Lanka, 1996 25,000 Zanzibar, Chwaka-Paje, 1996 6,000 Kenya, Nyali-Bambuti-Shanzu, 1997 20,377 Mexico, Xcalak park and village, 1997 55,000 Mexico, Quintanaa Roo coast, 1997 44,756 Indonesia, Bentenan-Tumbak, 1998 16,096 Indonesia, Blongko, 1998 32,567 Indonesia, Talise, 1998 1,600,000 Indonesia, Lampung coastal zone, 1999 11,590 Indonesia, Balikpapan Bay, 1999 142,400 Tanzania, national coast, 1999 13,121 Mexico, Laguna Guerrero, 1999 2,200 Mexico, Los Raudales, 1999 2,663,507 Large addition in 2001 is expected from Gulf of California, 28,300,000.	1997	800,777	800,777
	1998	810,762	894,196
	1999	2,663,507	2,663,507
	2000	3,949,507	
	2001	32,249,507	
	2002	32,249,507	
	2003	32,249,507	

IR1.4 Data Performance Tables - Indicator 2

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands

APPROVED: 2/18/98 | **COUNTRY/ORGANIZATION:** G/ENV/ENR

RESULT NAME: Increased conservation and sustainable use of coastal and freshwater resources

INDICATOR: Area in key countries/regions with *effective* ICM programs

UNIT OF MEASURE: Hectares

SOURCE: Reports from partners and cooperators

INDICATOR DESCRIPTION:

Two key conditions must be met for areas to be considered under *effective* management:

(3) habitat quality is maintained or improved an/or the rate of habitat degradation is reduced; and

(4) institutional ability to monitor and respond to threats and opportunities (adaptive management) is demonstrated.

Results are **cumulative**.

COMMENTS:

No new reports of effective management in FY 1999. Figure reported for FY 1999 is the cumulative sum of:

61,167 Sri Lanka, 1997
22,400 Ecuador ZEMs, 1997
2,500 Thailand, Phuket, 1997
6,000 Kenya, Nyali-Bambuti-Shanzu, 1997
25,000 Tanzania, Zanzibar, Chwaka-Paje, 1997
17,377 Mexico, marine park, 1997
44,756 Indonesia, Bentenan-Tumbak, 1998
16,096 Indonesia, Blongko, 1998
32,567 Indonesia, Talise, 1998
227,863

Large increase for 2002 is expected from four sites in Indonesia.

YEAR	PLANNED	ACTUAL
1996	—	—
1997	Baseline	134,444
1998	137,229	227,863
1999	242,863	227,863
2000	243,443	
2001	243,443	
2002	2,080,129	
2003	2,086,129	

IR1.4 Data Performance Tables - Indicator 3

OBJECTIVE: Increased and Improved Protection and Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Freshwater and Coastal Ecosystems, and Agricultural Lands			
APPROVED: 2/18/98	**COUNTRY/ORGANIZATION:** G/ENV/ENR		
RESULT NAME: Increased conservation and sustainable use of coastal and freshwater resources			
INDICATOR: Documented improvements in coastal and freshwater systems as a result of strengthened policies or *improved* policy implementation			
UNIT OF MEASURE: Number of policy successes	**YEAR**	**PLANNED**	**ACTUAL**
SOURCE: Reports from partners	1998	2	2
INDICATOR DESCRIPTION: Improved Strategies and Policies lead to "Policy Successes" in ICM. This indicator tracks and assesses coastal management policies developed and submitted for consideration, formally adopted by an agency capable of implementation, and/or implemented. The purpose of this indicator is to track policy implementation that demonstrates improved environmental quality on the ground in the field project site. In order to be considered a success, a policy must be implemented and its impact on improving conditions demonstrated. Coastal management policies are defined as laws, decrees, agreements, regulations, ordinances, management plans, guidance, and best management practice (BMPs). Results are reported annually and **are not cumulative**. **COMMENTS:** Policies successes for FY 1999 are: Community strategy, Mexico, Xcalak Tourism strategy, Mexico, Xcalak Fisheries agreement, Mexico, Xcalak Low-impact tourism guidelines, Mexico Marine sanctuary plan, Indonesia, Blongko Village-level early action funding procedures, Indonesia Municipal marine sanctuary plan, Indonesia, Blongko Capacity building strategy, Tanzania Mariculture action strategy, Tanzania Two anticipated policy successes were not achieved in FY 1999. Designation of the Xcalak National Park in Mexico is being delayed because of a change in government personnel. In Kenya, hoteliers focused on declining occupancy rates in FY 1999 and could not give attention to a water conservation program.	1999	11	9
	2000	2	
	2001	5	
	2002	5	
	2003	5	

SSO2 Intermediate Results

IR2.1 Expanded and Equitable Delivery of Urban Environmental Services and Shelter

Self-Assessment

IR 2.1 is measured by five indicators: four index-based indicators that measure progress in achieving its four respective sub-intermediate results and one quantitative indicator that measures overall performance across the IR. The IR 2.1 team met or exceeded its targets for four of the five indicators. Significant accomplishments have been achieved by this IR in both the use of grant resources to provide technical assistance in service and shelter provision, and in the use of credit resources to directly expand access to such services. Overall, however, development assistance resources for the SSO under which IR 2.1 falls have declined significantly in recent years; grant resources have fallen 50 percent in the past five years, and credit subsidy resources have fallen 93 percent in the past six years. USAID appears to be scaling down its sole resource for urban-oriented activities at a time when there is a need for a coordinated response to the rapidly growing urban population worldwide.

Summary

Sustainable urbanization rests on the premise that protecting the health of human settlements and natural ecosystems is critical for long-term economic security. Economic benefits will result from the urbanization process if urban residents, especially the poor, are given access to decent environmental services and shelter. In light of this goal, IR 2.1, *Expanded and Equitable Delivery of Environmental Services and Shelter,* focuses resources on the promotion of service and shelter expansion and access through the following four sub-intermediate result areas:

- Policy and regulatory reform that promotes access to urban services and shelter (IR 2.1.1)
- Expanded financial resources available for investment in services and shelter (IR 2.1.2)
- An expanded private sector role in service and shelter delivery (IR 2.1.3.)
- Targeted approaches to provide services and shelter to low-income users (IR 2.1.4)

IR 2.1 uses an "index" to measure progress made along a continuum toward each sub-intermediate result, marked by four discrete stages of development. The stages describe the progress of the activity in terms specific to each sub-intermediate result. For instance, the second stage of Indicator 1, *Extent to which an integrated policy framework is in place and is used to guide the system whereby urban infrastructure is financed,* is reached when the participating government acknowledges the need for policy framework and enters into dialogue with local government and/or private sector. Because programs vary considerably in strategy and the problems they address, RUDOs report on the performance indices which best describe their programs. For those indicators, each RUDO identifies the actual stage its RUDO-funded and/or -managed activities have reached and determines targets for future activities. The stages from all of the RUDO activities that report on this indicator are averaged to reach overall SSO stages and targets (measured from 1 to 4).

Key Results

The RUDOs identified significant achievements in policy reform, expansion of financial resources for investment, and expansion in the role of private sector in providing services and shelter delivery. Selected examples, taken from five of the RUDOs, are presented below.

Rabat – In Morocco, the heightened pace of decentralization and devolution of service delivery to the local level, which was re-enforced with the ascent of King Mohammed VI in July 1999, made a number of important advances possible. As part of the RUDO-managed ***Urban Environmental Services (UES) Program***, medium-range (5-year) budget planning processes are being undertaken at the local level for the first time. New and ongoing public-private partnerships are being strengthened to employ more sustainable approaches to financing urban services. And local counterparts are being assisted to tap local capital markets for investment resources through the issuance of bonds and certificates of deposit to match long-term investment needs with appropriate term finance and resources.

Pretoria – In South Africa, the use of credit facilities, which use USAID donor resources to leverage millions of dollars in private sector funds, helped the nation make tremendous progress towards expanding and equalizing the delivery of services post-Apartheid. In partnership with the South African Infrastructure Finance Corporation (INCA), the ***Shelter and Urban Development Support (SUDS) Program*** helped expand services to 22,000 previously-neglected households in FY 1999. Technical assistance facilitated by the RUDO this year is expected to result in the provision of potable water to over 1,000,000 residents in the Bushbruckridge community over the next three years. Additional efforts to assist the City of Johannesburg, for example, to move from the direct provision of municipal services to provision through corporate utilities, as well as support 43 local housing groups to develop rental housing and homeownership opportunities, ensure that USAID's contributions will be sustainable.

New Delhi – In 1997, the city of Ahmedabad, India made the front page of the Wall Street Journal for issuing the first-ever municipal bond in South Asia, with RUDO assistance—a notable achievement in securing a sustainable source of financing for municipalities to deliver shelter and services in the developing world. Over the past years, the highly successful ***Financial Institutions Reform and Expansion (FIRE) Program*** has helped other municipalities throughout India advance towards replicating this achievement. To date, two municipalities have issued bonds, and 30 municipalities have either been credit rated, or initiated the process, and in doing so have made significant advances in financial management practices to a level measurable under international credit rating standards. This ongoing assistance has also led to the movement in nearly 30 municipalities from municipal collection of solid waste to the development and distribution of private contracts for solid waste disposal—a move expected to yield more cost-effective and wider-reaching service delivery for millions of urban residents.

Jakarta – The dramatic crisis experienced in Indonesia over the last three years—rapid devaluation of the country's currency, a significant drop in GDP, the virtual collapse of the commercially-based financial structure, and deep-seated political and social tensions—demanded a particularly responsive approach. In addition to the continuation of pre-crisis efforts to increase the efficiency of Indonesia's water enterprises—33 of which have been assessed and assisted to develop implementation plans—the ***PURSE project*** emphasized the creation of employment opportunities through the delivery of urban environmental services. As a result of RUDO-managed assistance provided to more than 100 community-based organizations in 14 cities, which held thousands of community meetings, 1,700 labor-intensive infrastructure projects were developed and consequently accepted into the plans and budgets of local

governments. In partnership with follow-on funds from the World Bank, it is expected that over 50,000,000 person days of work will be generated in East and West Java.

Parallel efforts are ongoing through the ***Coordinated Local Environmental Action Network (CLEAN)-Urban Project*** to encourage the widespread adoption of capital investment programs (CIPs), which are used to describe the municipalities' approach to infrastructure investment as a result of community input and feedback. Two more urban centers have adopted CIPs during FY 1999, bringing the total to six. Hundreds more are expected to benefit from RUDO-managed assistance provided to the Ministry of Home Affairs to produce technical manuals which, by June 2001, will be used to guide all Indonesian municipalities in the development of CIPs.

Guatemala – The efforts related to the expansion of service delivery in the LAC region this year have been largely dominated by disaster reconstruction efforts in response to Hurricanes Georges and Mitch. As a result of RUDO-managed assistance, housing needs assessments were prepared for four countries—Honduras, Nicaragua, Dominican Republic, and Colombia—which will help direct U.S. funding to benefit approximately 16,000 families with new or improved shelter and basic services. In addition, 20 Nicaraguan municipalities were assisted in implementing plans to improve communal services (such as roads, storm drainage, and water and sewage systems) and improve stream embankments to mitigate against the threat of future flooding.

Ongoing efforts to strengthen a regional capital market led to RUDO assistance to the ***Municipal Infrastructure Finance Loan (PROMUNI)*** for municipal governments to access funds for constructing environmental infrastructure projects and shelter solutions. As a result, over 850,000 people over five years have benefited from improved services, and $20 million in new lending from commercial banks and NGOs has flowed into Guatemala and Costa Rica for municipal infrastructure financing. Credit was further utilized to secure the flow of capital to previously neglected portions of Guatemala—those in the ZonaPaz (peace zone) region. Through USAID assistance during FY 1999, up to $5 million in formal financial sector lending will be leveraged to the region to help small businesses, small producers, municipal governments, and cooperatives improve their productivity through improved urban services.

Performance and Prospects

The IR 2.1 team met or exceeded the targets for four of its five IR 2.1-level indicators and did not meet the target for the other. As an example of work carried out under the first indicator - *Extent to which an integrated policy framework is in place and is used to guide the system whereby urban infrastructure is financed* -the SUDS program was particularly successful. The program helped implement guidelines for the Municipal Systems Bill in South Africa, which delineates developmental and service provision responsibilities of municipalities. Seven other RUDO programs reported on this indicator. Of the seven RUDO programs which reported on the second indicator - *Timeliness and effectiveness in facilitating and managing the privatization process* - SUDS, FIRE, and the Private Sector Housing (PSH) program reached or surpassed Stage 3. In the PSH program, for example, the RUDO in Zimbabwe provided assistance to the City of Gweru to conduct that country's first water service privatization. The third indicator - *Degree of choice among appropriate financial mechanisms for municipal and other urban*—was reported on by six RUDO programs. The RUDO in Poland, in reaching a stage of 3.5, made

substantial progress in strengthening local financial management and increasing creditworthiness of local governments, which in turn has led to increased bank lending to municipalities.

The fourth indicator, *Level of financial sector involvement in municipal and urban infrastructure finance in targeted areas,* experienced a shortfall. This indicator received a score of 2.3, compared to the target of 2.9. Of the eight activities which report under this indicator, three were located in countries in South America (primarily Ecuador and Paraguay) which suffered widespread collapse of financial institutions as a result of the social and economic crises experienced there in 1999. As a result, the ability of the private sector to engage in public finance activities was severely restricted, and the average score fell short of the target despite advances in the other five programs.

The fifth IR-indicator - *Total number of households benefiting from improved environmental infrastructure and shelter solutions* - which also serves as an SSO-level indicator, far exceeded its target of 50,500 households. This was largely accomplished because the Asian financial crisis did not have as adverse an impact on the Indonesia program as anticipated. Indonesia accounted for 199,300 of the 273,905 households, and beneficiaries in that country benefited from improved services in the areas of water supply, sanitation and sewerage, drainage and flood prevention and solid waste management. Other countries assisted were the Czech Republic (30,000), South Africa (26,500), Zimbabwe (13,941), Morocco (3,972), and Sri Lanka (192). While the team far exceeded the target this year, it did not even come close to meeting the original target of 745,000 households (set in FY 1997). This target was greatly reduced a year ago to reflect the drastically diminished resources available to SSO2, and represents the diminished impact of the strategy.

Possible Adjustments to Plans

During FY 2000, this IR will undergo a process of reevaluating the effectiveness of the indices as a measure of progress in this area. The goals of the exercise will be to identify the most effective means to both measure progress and to relay the people-level impacts of this work. Despite the wide variety in social and economic conditions, it is clear that continued efforts to expand and enhance the delivery of shelter and urban services remain a critical need in the developing world. In fact, problems are likely to be exacerbated by the continued growth in urban populations. USAID's ability to be responsive to these trends and help countries properly manage their urban growth before they reach crisis conditions, will be determined wholly by the extent to which resources—both grant and credit (which is of particular relevance in the financing of urban services)—are made available for these types of activities.

Other Donor Programs

USAID works closely with the World Bank and the regional development banks in Asia and Latin America to promote self-sustaining approaches to the provision of urban services and shelter. USAID also works with a large variety of host country, city-level government institutions, NGOs, and private organizations. SSO2 has helped develop the multi-donor "Cities Alliance" effort, spearheaded by the World Bank and UNCHS, to coordinate donor funds promoting the scaling up of slum upgrading programs.

Principal Contractors, Grantees, or Agencies

Abt Associates, Community Consulting International (CCI), International City/County Management Association (ICMA), PLAN International, PADCO, Inc., Research Triangle Institute (RTI), and Urban Institute.

IR2.1 Performance Data Table – Indicator 1

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997	**COUNTRY/ORGANIZATION:** G/ENV/UP		
RESULT NAME: IR 2.1.1 Expanded Service of Urban Environmental Services and Shelter			
INDICATOR: 1: Extent to which an integrated policy framework is in place and is used to guide the system whereby urban infrastructure is financed			
UNIT OF MEASURE: The average score of those RUDOs who are reporting this indicator for each year.*	**YEAR**	**PLANNED**	**ACTUAL**
	1997	Baseline	2.3
SOURCE: RUDO reports	1998	2.5	2.6
INDICATOR/DESCRIPTION: Each indicator has a set of four descriptive "stages," which describe the progress towards a given sub-intermediate result. Each RUDO that reports on this particular indicator identifies the actual stage its RUDO-funded and/or -managed activities has reached and determines targets for future activities. The stages from all of the RUDO activities that report on this indicator are averaged to reach overall SSO stages, which are presented here.	1999	3.0	3.0*
	2000	3.0	
	2001	3.0**	
COMMENTS: * RUDOs reporting: Jakarta, New Delhi, Harare, Pretoria, Guatemala, Rabat, Warsaw ** The Warsaw RUDO will graduate in FY 2000; therefore, this and subsequent targets will average stages from the remaining RUDOs that report on this indicator.	2002	3.2	

Stage/Level			
1	**2**	**3**	**4**
No policy regime in place. Financing needs not being systematically addressed at policy level.	Government acknowledges need for policy framework and has entered into dialog with local government and/or private sector.	Policy framework under development or partially in place. Multiple aspects of a finance system for municipal and infrastructure requirements are being addressed simultaneously.	Transparent municipal finance policy in place and understood by all parties. Monitoring activities exist to evaluate and adapt system as requirements change.

IR2.1 Performance Data Table – Indicator 2

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997	**COUNTRY/ORGANIZATION:** G/ENV/UP		
RESULT NAME: IR 2.1.1 Expanded Service of Urban Environmental Services and Shelter			
INDICATOR: 2: Timeliness and effectiveness in facilitating and managing the privatization process.			
UNIT OF MEASURE: The average score of those RUDOs who are reporting this indicator for each year.*	**YEAR**	**PLANNED**	**ACTUAL**
	1997	Baseline	2.0
SOURCE: RUDO reports	1998	2.3	2.5
INDICATOR/DESCRIPTION: Each indicator has a set of four descriptive "stages," which describe the progress towards a given sub-intermediate result. Each RUDO that reports on this particular indicator identifies the actual stage its RUDO-funded and/or -managed activities has reached and determines targets for future activities. The stages from all of the RUDO activities that report on this indicator are averaged to reach overall SSO stages, which are presented here.	1999	2.7	2.7*
	2000	2.5**	
	2001	2.6	
COMMENTS: * RUDOs reporting: Jakarta, New Delhi, Pretoria, Harare, Guatemala ** The decrease in this target is due to mainly to a new activity in El Salvador, for which the Guatemala RUDO set a target of 1.0, which greatly reduces the average planned stage.	2002	2.8	

Stage/Level			
1	**2**	**3**	**4**
No policy/regulatory oversight in place. Privatization taking place on an ad hoc basis.	Government acknowledges need for rational privatization policy. Key constraints being identified and analyzed.	Privatization policy being refined Transparent procedures being established and used. Number/value of privatization activities successfully carried out is increasing. System for addressing public concerns, and monitoring performance being developed and/or in use.	Privatization activities taking place where desirable on timely basis with appropriate level of government oversight. System for incorporating/ addressing public concerns are well established. Performance of previously privatized activities being monitored and found satisfactory.

IR2.1 Performance Data Table – Indicator 3

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997	**COUNTRY/ORGANIZATION:** G/ENV/UP		
RESULT NAME: IR 2.1.1 Expanded Service of Urban Environmental Services and Shelter			
INDICATOR: 3: Degree of choice among appropriate financial mechanisms for municipal and other urban investments			
UNIT OF MEASURE: The average score of those RUDOs who are reporting this indicator for each year.*	**YEAR**	**PLANNED**	**ACTUAL**
	1997	Baseline	1.9
SOURCE: RUDO reports	1998	2.5	2.7
INDICATOR/DESCRIPTION: Each indicator has a set of four descriptive "stages," which describe the progress towards a given sub-intermediate result. Each RUDO that reports on this particular indicator identifies the actual stage its RUDO-funded and/or managed activities has reached and determines targets for future activities. The stages from all of the RUDO activities that report on this indicator are averaged to reach overall SSO stages, which are presented here.	1999	2.8	3.0*
	2000	2.8	
	2001	2.5**	
COMMENTS: * RUDOs reporting: Pretoria, Guatemala, Rabat, Warsaw, New Delhi ** The decrease in this target is due to the graduation of the Warsaw RUDO, whose absence from the ratings will affect the weighting and sum of the average (the RUDO set a target of 4.0 in FY 2000).	2002	2.9	

Stage/Level			
1	**2**	**3**	**4**
No selection of funding sources. Only gov't or quasi-gov't funding available	Need for more diverse range of funding channels and instruments acknowledged. Private sector involved in identifying, designing and developing expanded funding options.	One or more new funding channels in use on pilot basis by targeted areas. Development of additional vehicles or instruments continues. Private sector initiative in serving urban investment needs is evident.	Range of appropriate financing vehicles and instruments available to targeted areas. Choice of mechanisms made primarily at the local level.

IR2.1 Performance Data Table – Indicator 4

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997	**COUNTRY/ORGANIZATION:** G/ENV/UP		
RESULT NAME: IR 2.1.1 Expanded Service of Urban Environmental Services and Shelter			
INDICATOR: 4: Level of financial sector and other involvement in municipal and urban infrastructure finance in targeted countries			
UNIT OF MEASURE: The average score of those RUDOs who are reporting this indicator for each year.*	**YEAR**	***PLANNED***	**ACTUAL**
	1997	Baseline	1.6
SOURCE: RUDO reports	1998	2.1	1.9
INDICATOR/DESCRIPTION: Each indicator has a set of four descriptive "stages," which describe the progress towards a given sub-intermediate result. Each RUDO that reports on this particular indicator identifies the actual stage its RUDO-funded and/or managed activities has reached and determines targets for future activities. The stages from all of the RUDO activities that report on this indicator are averaged to reach overall SSO stages, which are presented here.	1999	2.9	2.3*
	2000	2.3**	
	2001	2.5	
COMMENTS:	2002	2.8	
* RUDOs reporting: Pretoria, Harare, New Delhi, Guatemala, Warsaw			
** The decrease in this target is due to the conclusion of the Municipal Infrastructure activity in the Czech Republic (which had a target of 3.5 in FY 1999) and a new activity in El Salvador, for which the Guatemala RUDO set a target of 1.5, which greatly reduces the average planned stage.			

Stage/Level			
1	**2**	**3**	**4**
No financial sector interest or understanding of needs of the municipal sector or for urban environmental infrastructure investment.	Evidence exists of private sector interest in financing of municipal services and urban environmental infrastructure. Private sector and public sector have established dialog on these issues.	Private sector initiatives and marketing to the municipal sector and to urban infrastructure providers are increasing. Share of private financing is increasing. Ongoing forum is established for public/private dialog on municipal finance and urban environmental infrastructure finance.	Competition exists in financing of municipal services and urban infrastructure. Innovation is increasing and costs of financing declining as a result of broader private involvement. Municipal finance industry organization are emerging in private sector.

IR2.1 Performance Data Table – Indicator 5

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997	**COUNTRY/ORGANIZATION:** G/ENV/UP		
RESULT NAME: IR 2.1.1 Expanded Service of Urban Environmental Services and Shelter			
INDICATOR: 5: Total number of households benefiting from improved urban environmental infrastructure and shelter solutions.			
UNIT OF MEASURE: Target households	**YEAR**	**PLANNED**	**ACTUAL**
SOURCE: Reports from RUDOs, Annual Urban Environmental Credit Program Performance Monitoring Data	1994	Baseline	4,784,976[1]
INDICATOR/DESCRIPTION: Urban environmental infrastructure and shelter refers to any activities providing mortgages; small home loans; construction loans; and servicing of sites with water, sewage treatment, and/or solid waste disposal. Targets and actuals are highly dependent on eventual credit-subsidy levels and decisions and ability of countries to borrow (or request disbursements) in a given years. Hence, numbers chosen reflect expected disbursements of authorized loans only. Targets for FYs 1999-2001 begin to show the impact of the decline in UE authorization levels starting in FY96. To provide a comparison, credit subsidy levels were $15.1 million in FY94, $19.0 million in FY95, $3.8 million in FY96, $3.5 million in FY97, $3.1 million in FY98, and $1.5 million in FY99.	1995	N/A[2]	484,559
	1996	N/A	514,210
	1997	567,000	528,570
	1998	579,000	506,085
	1999	50,500[3]	273,905[4]
	2000	1,500	
	2001	1,500	
	2002	TBD	
	2003	TBD	

COMMENTS:

[1] 1994 represents cumulative data for the impact of the Urban Environmental Credit Program (formally the Housing Guaranty). Subsequent data show the annual increase in the number of households benefiting from improved environmental infrastructure and shelter solutions. There is usually a lag of one to five years between authorizations (appropriated funds) and loan disbursements or results.

[2] In 1996, G/ENV/UP began collecting data on number of beneficiaries on a desegregated annualized basis. Annual targets were not set until FY97. Previously, life-of-project totals (which could span five or more years) were reported. 1995 actual is deduced data.

[3] Targets for FYs 1999-2001 were revised to reflect anticipated disbursements. Target numbers of beneficiaries are based on credit subsidy assumptions of $1.5 million in FY99, $3 million in FY00, and $3 million in FY01.

[4] SSO2 far exceeded its target, largely because a loan to Indonesia, which was previously held up because of the financial crisis, was disbursed. The breakdown, by country, was as follows:

Indonesia -- 199,300
Czech Republic – 30,000
South Africa – 26,500
Zimbabwe -- 13,941
Morocco -- 3,972
Sri Lanka – 192

IR2.2: More Effective Local Governments

Self-Assessment

IR 2.2 is measured by a set of four indicators consisting of 16 sub-indicators. However, four of these sub-indicators were not used by any of the six RUDOs to measure program activities in FY 1999. Of the remaining 12 sub-indicators, the IR 2.2 team met or exceeded 11. The IR 2.2 team has demonstrated an ability to positively impact the capacity, autonomy, and accountability of local governments to manage municipal services such as water delivery and solid waste management, but it is hampered in its ability to continue to do so as a result of declining grant and credit resources.

Summary

The era of decentralization is well upon us; witness the sea of changes which have occurred in Morocco, Indonesia, and India alone. So, too, is the era of tremendous urbanization, where in the next five years, the world will for the first time ever see more than half her population residing in urban areas. These trends, coupled with the challenges posed by economic and social crises worldwide, require that development assistance actively take into account the capacity of local governments to manage the delivery of the most basic of human services, such as delivery of clean water and garbage-free streets. In recognition of this important dynamic, IR 2.2, *More Effective Local Governments*, focuses resources on the following sub-intermediate results:

- Improving financial management by local governments to make management and investment decisions more effective and transparent (IR 2.2.1)
- Improving local government institutional capacity to plan and deliver appropriate municipal services (IR 2.2.2)
- Promoting transparency and reliability of intergovernmental transfers and revenue-sharing formulas for local public works (IR 2.2.3), and
- Enhancing local government accountability by increasing public awareness, understanding and participation in municipal budgetary planning, policy development, and delivery of urban services (IR 2.2.4)

IR 2.2 uses a set of four indices, which correspond to its four sub-intermediate results, and 16 sub-indices to measure progress made along a continuum toward the achievement of each sub-intermediate result, marked by four discrete stages of development. The stages describe the progress of the activity in terms specific to each sub-intermediate result. For instance, the fourth stage of Indicator 1.2, *Extent to which systematic integrated capital budgeting systems are used in targeted areas,* is reached when the local governments in targeted areas are using such systems. Because programs vary considerably in strategy and the problems they address, RUDOs report only on categories of the performance indices that best describe their programs. In FY 1999, 12 of the 16 indicators were reported on by the RUDOs. Each RUDO identifies the actual stage its RUDO-funded and/or -managed activities has reached and determines targets for future activities. The stages from all of the RUDO activities that report on the particular indicator are averaged to reach overall SSO stages and targets (measured from 1 to 4).

Key Results

The RUDOs reported achievements in all of the key areas in which this IR works, including improved financial management by local governments, improved local government capacity,

increased local government autonomy and enhanced local governmental accountability. Selected examples from the RUDOs follow.

Rabat – In Morocco, the RUDO-managed ***Urban Environmental Services (UES) Program*** has helped strengthen the capacity of local governments and improve the system of partnership between public and private entities. In turn, this work has led to the construction of infrastructure projects, such as the cutting-edge, full-service wastewater treatment facility in the Al Attaouia region benefiting 15,000 people. Local government officials have been further assisted through the dissemination of more than 2000 "best practices" manuals in liquid waste management, environmental planning, and solid waste management.

Warsaw – In Poland, the ongoing efforts of the RUDO-managed ***Local Government Partnership Program (LGPP)*** led to the following advances in local government strengthening and information sharing: 30 partner cities have adopted capital improvement planning processes, and provided demonstration impacts for another 50; cost recovery of housing rents (heretofore offered free or at a highly subsidized rate) was implemented in several pilot partner cities; and the dissemination of LGPP's guide on innovative practices was distributed to 600 attendees of the National Mayors' Conference.

Pretoria – Through the ***Resource Cities partnership program*** and direct technical assistance, RUDO assisted members of Lusaka, Zambia progressed through a complex and difficult process of strategic planning and team building. Such practices, while well-utilized in the United States, represent a fundamentally new approach to local government management, as well as a critical tool in the effective, equitable, and sustainable allocation of limited resources. As a result of the process, the community investment initiatives advocated by the recently-elected mayor have a grounding in viability and community participation, and as such represent a significant success in the operationalization of a democratic society in Zambia.

New Delhi – The passage of the 74th Amendment in India laid fertile ground for the municipal strengthening activities of the continuing ***Financial Institutions Reform and Expansion – Debt Market Component (FIRE(D)) project.*** FIRE(D) provided support to a growing urban management training network in India which will provide strategic support in commercially-viable infrastructure project development, improved municipal financial systems, and improved access to urban services by the poor to municipal officials through ten state level training institutes. RUDO-managed activities through FIRE(D) emphasize municipal partnerships with NGOs and CBOs for the more efficient and sustainable provision of urban services, such as water and sewer, to the poor. Furthermore, continued USAID support to the City Managers' Association of Gujarat (CMAG) is expected to both elevate the role of the association in the state as a technical resource for municipalities, as well as strengthen the model of a state-level association for replication in other states throughout India.

Jakarta – In Indonesia, continuing efforts under the RUDO-managed ***Coordinated Local Environmental Action Network (CLEAN)-Urban*** activity led to significant achievements, such as the expanded number of urban centers adopting capital investment programs from four to six, and the development of national standards and manuals to guide the universal completion of CIPs by all urban centers in Indonesia. RUDO-managed advisors also helped to draft laws in FY

1999 which set the framework for the devolution of power and resources to local authorities by May 2001. Other activities helped advance the strengthening of municipalities through the establishment of "city sharing" workshops, and community action dialogue networks—both efforts to help enhance the exchange of information and best practices across municipalities.

Guatemala – As parts of the LAC region struggled during FY 1999 to rebuild from Hurricanes Georges and Mitch, the importance of strengthening municipal governments—both as implementers of disaster mitigation plans and as funnels for disaster recovery funds—was highlighted. In addition to the reconstruction efforts, RUDO's contributions to the region emphasized the provision of assistance in specific technical areas to improve local governments' capacity to deliver services. Through a regional exchange to Colombia, 20 Paraguayan mayors and other officials were trained in solid waste management and wastewater services.

As a result of their ***Resource Cities partnership*** with Albuquerque, New Mexico, officials of Guatemala's second largest city, Quetzaltenango, were helped to improve the city's water storage system, develop a landfill, implement a recycling program, and develop a long-term integrated solid waste management plan. A second Resource Cities partnership between El Salvador's municipal association, COMURES, and that of the State of Florida assisted COMURES to better advocate for member cities at national policy-making levels and serve as a technical resource in urban management areas. A third Resource Cities partnership between Asuncion, Paraguay and Austin, Texas led to significant improvements in the way the city monitors and evaluates its performance in service delivery, collaborates with local NGOs to deliver urban services, and collects and treats its solid waste for the capital city region.

Performance and Prospects

Of the 12 indicators on which RUDOs reported this year, the targets for 11 were met or exceeded. These indicators are discussed by sub-intermediate group below.

IR 2.2.1 - *Improving financial management by local governments to make management and investment decisions more effective and transparent.* Under this intermediate result, the IR exceeded its target for one sub-indicator and met its target for three. One key sub-intermediate result measures the use of integrated capital budgeting systems for investment planning. Through the FIRE(D) project, for example, municipalities throughout India are being assisted to develop and institutionalize the following financial management practices: city corporate plans (five year strategic planning and capital expenditure planning documents), double-entry accrual based accounting systems, and improved and revised financial report formats.

I.R. 2.2.2 - *Improving local government institutional capacity to plan and deliver appropriate municipal services*. Significant progress was made during FY 1999 in improving the management of urban service delivery. Two indicators exceeded their targets and two met their targets, and on average the four indicators reached a stage fifty percent higher than that of FY 1998. In Poland, for example, not only are the majority of LGPP partner cities implementing best practices, an increasing number of non-targeted cities are adopting them based on their exposure to the program.

I.R. 2.2.3 - *Promoting transparency and reliability of intergovernmental transfers and revenue-sharing formulas for local public works.* IR 2.2 met two of the three targets and was below target on one—improvements in reliability of intergovernmental transfers of funds. Failure to meet the latter was largely due to exogenous factors. For example, despite ongoing USAID efforts in Indonesia to draft regulations that will facilitate devolution of power, progress has been slowed due to the five-month long process of instituting the newly-elected democratic government. Still, the program was successful as measured by the establishment of municipal government networks; in FY 1999 exchange of information and best practices across municipalities was enhanced through "city sharing" workshops and community action dialogue networks.

IR 2.2.4 - *Enhancing local government accountability by increasing public awareness, understanding and participation in municipal budgetary planning, policy development, and delivery of urban services.* Only one of the four indicators under this intermediate result was reported, E*xtent to which the public has access and is able to influence local governments on key environmental issues*, and the target was exceeded. One example is in Indonesia, where the CLEAN-Urban program has worked with over 100 community-based organizations and more than 450 local communities in 14 cities in East and West Java to identify infrastructure needs and community infrastructure priorities. The outcome has been the acceptance of 1,700 community-generated infrastructure projects in the plans and budgets of local governments.

Possible Adjustments to Plans

The challenges and opportunities facing local governments and their ability to properly manage the impacts of urbanization are growing. With the continuous growth of population in urban centers, demands for increased decentralization and accountability will increase, placing additional pressure on already resource-strained local governments. With the decline in resources available for such activities, USAID is in a weakened position to respond to these challenges. During FY 2000, this IR will undergo a process of reevaluating the effectiveness of the indices as a measure of progress in this area. The goal of the IR team will be to identify the most effective means to both measure progress and to relay the people-level impacts of this work..

Other Donor Programs

USAID works closely with the World Bank, the Inter-American Development Bank, and other multilateral and bilateral donors. For instance, USAID provides technical assistance to the OECD Development Assistance Participatory Democracy and Good Governance activity for the development and implementation of workshops on decentralization in Latin America. These activities are designed to improve the capacity of local governments to manage urban service delivery more efficiently. The program also works closely with U.S. cities and municipal associations, host country local governments, and overseas local and regional organizations, such as the Federation of Central American Municipalities (FEMICA), the International Union of Local Authorities (IULA), the South Africa Local Government Association and the City Managers' Association of Gujarat in India. The program has helped develop the multi-donor "Cities Alliance" effort, spearheaded by the World Bank and UNCHS, to coordinate donor funds promoting the design and implementation of city development strategies.

Principal Contractors, Grantees, or Agencies

Abt Associates, Community Consulting International (CCI), International City/County Management Association (ICMA), Planning and Development Collaborative, Inc. (PADCO), Research Triangle Institute (RTI), and Urban Institute.

IR2.2.1 PERFORMANCE DATA TABLE – FINANCIAL MANAGEMENT INDEX, INDICATOR 1

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997	**COUNTRY/ORGANIZATION:** G/ENV/UP		
RESULT NAME: IR 2.2.1 Financial Management Index			
INDICATOR: 1: Degree of independence municipalities and their citizen have to make investment decisions.			
UNIT OF MEASURE: The average score of those RUDOs who are reporting on this indicator for each year.*	**YEAR**	**PLANNED**	**ACTUAL**
	1997	Baseline	1.8
SOURCE: RUDO reports	1998	2.0	2.0
INDICATOR/DESCRIPTION: Each indicator has a set of four descriptive "stages," which describe the progress towards a given sub-intermediate result. Each RUDO that reports on this particular indicator identifies the actual stage its RUDO-funded and/or managed activities has reached and determines targets for future activities. The stages from all of the RUDO activities that report on this indicator are averaged to reach overall SSO stages, which are presented here.	1999	2.0	2.3*
	2000	2.8	
	2001	3.0	
COMMENTS: *RUDOs reporting: Jakarta, Pretoria, New Delhi	2002	3.0	

Stage/Level			
1	**2**	**3**	**4**
Investment decisions are dictated, directed or carried out by central governments.	Central gov't recognizes need to grant autonomy to local gov't. Central gov't has expanded level of consultation with local gov't and degree of LG decision-making.	Local gov'ts exercise significant autonomy in investment decisions. Commitment by central gov'ts to expand autonomy is incorporated into national local gov't policy.	Local gov'ts act autonomously in making investment decisions with support from central gov't, consistent with national policy.

IR2.2.1 PERFORMANCE DATA TABLE – FINANCIAL MANAGEMENT INDEX, INDICATOR 2

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997	**COUNTRY/ORGANIZATION:** G/ENV/UP		
RESULT NAME: IR 2.2.1 Financial Management Index			
INDICATOR: 2: Extent to which systematic integrated capital budgeting systems are used in targeted areas			
UNIT OF MEASURE: The average score of those RUDOs who are reporting on this indicator for each year.*	**YEAR**	**PLANNED**	**ACTUAL**
	1997	Baseline	1.5
SOURCE: RUDO reports	1998	1.8	1.8
INDICATOR/DESCRIPTION: Each indicator has a set of four descriptive "stages," which describe the progress towards a given sub-intermediate result. Each RUDO that reports on this particular indicator identifies the actual stage its RUDO-funded and/or managed activities has reached and determines targets for future activities. The stages from all of the RUDO activities that report on this indicator are averaged to reach overall SSO stages, which are presented here.	1999	2.0	2.5*
	2000	2.5	
	2001	3.0**	
COMMENTS: * RUDOs reporting: Jakarta, New Delhi, Warsaw ** The Warsaw RUDO will graduate in FY 2000; therefore, this and subsequent targets will average stages from the remaining RUDOs that report on this indicator.	2002	3.0	

Stage/Level			
1	**2**	**3**	**4**
No systematic integrated capital budgeting systems are used.	Local gov'ts have identified integrated capital budgeting systems as a needed practice. Local gov'ts have begun development of systems.	Systems for capital budgeting are in place. Local gov'ts have transferred capital expenditure information into budget format and/or completed one capital budget cycle.	Systematic integrated capital budgeting systems are in use by the majority of local govt's.

IR2.2.1 PERFORMANCE DATA TABLE – FINANCIAL MANAGEMENT INDEX, INDICATOR 3

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997 **COUNTRY/ORGANIZATION:** G/ENV/UP			
RESULT NAME: IR 2.2.1 Financial Management Index			
INDICATOR: 3: Extent to which municipal services and other municipal functions are well managed financially in targeted areas, using annual- budgets, program-based budgets, performance reporting, and/or industry's benchmarking.			
UNIT OF MEASURE: The average score of those RUDOs who are reporting on this indicator for each year.*	**YEAR**	**PLANNED**	**ACTUAL**
	1997	Baseline	2.4
SOURCE: RUDO reports	1998	2.4	3.0
INDICATOR/DESCRIPTION: Each indicator has a set of four descriptive "stages," which describe the progress towards a given sub-intermediate result. Each RUDO that reports on this particular indicator identifies the actual stage its RUDO-funded and/or managed activities has reached and determines targets for future activities. The stages from all of the RUDO activities that report on this indicator are averaged to reach overall SSO stages, which are presented here.	1999	3.5	3.5*
	2000	4.0	
	2001	**	
COMMENTS: * RUDOs reporting: Warsaw ** The Warsaw RUDO will graduate in FY 2000; therefore, this indicator will cease to measure progress unless other RUDOs report on this indicator in the future.	2002	**	

Stage/Level			
1	**2**	**3**	**4**
Minimal or no financial management practices employed.	Local gov't recognizes need to implement financial management. Development of tools in progress.	Targeted areas have implemented one or more financial management tools. Systems are gaining standardization in targeted areas.	Majority of targeted areas have implemented at least two core financial management tools.

IR2.2.1 PERFORMANCE DATA TABLE – FINANCIAL MANAGEMENT INDEX, INDICATOR 4

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997	**COUNTRY/ORGANIZATION:** G/ENV/UP		
RESULT NAME: IR 2.2.1 Financial Management Index			
INDICATOR: 4: Degree to which rate-making accounting, cost recovery regimes, and financial reporting are implemented in targeted areas.			
UNIT OF MEASURE: The average score of those RUDOs who are reporting on this indicator for each year.*	**YEAR**	**PLANNED**	**ACTUAL**
	1997	Baseline	1.8
SOURCE: RUDO reports	1998	2.2	2.3
INDICATOR/DESCRIPTION: Each indicator has a set of four descriptive "stages," which describe the progress towards a given sub-intermediate result. Each RUDO that reports on this particular indicator identifies the actual stage its RUDO-funded and/or managed activities has reached and determines targets for future activities. The stages from all of the RUDO activities that report on this indicator are averaged to reach overall SSO stages, which are presented here.	1999	2.6	2.5*
	2000	2.6	
	2001	2.4**	
COMMENTS: * RUDOs reporting: Jakarta, New Delhi, Warsaw ** The decrease in this target is due to the graduation of the Warsaw RUDO, whose absence from the ratings will affect the weighting and sum of the average (the RUDO set a target of 3.5 in FY 2000) and a new activity in the LAC region, for which the Guatemala RUDO set a target of 1.0, which greatly reduces the average planned stage.	2002	2.6	

Stage/Level			
1	**2**	**3**	**4**
No cost recovery or rate-making regimes in place.	Need for rigorous cost recovery regimes, user fees and/or refined rate-making systems acknowledged by local gov't sector. Elements of new systems and administrative policy and regulatory measures needed to implement systems have been identified.	Use of cost recovery and rate-making systems expanding in targeted areas. Enabling policy, regulatory and administrative measures are well understood and being put in place.	Use of cost recovery and rate-making systems is widespread in targeted areas.

IR2.2.2 PERFORMANCE DATA TABLE – IMPROVED LOCAL GOVERNMENT CAPACITY, INDICATOR 1

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997	**COUNTRY/ORGANIZATION:** G/ENV/UP		
RESULT NAME: IR 2.2.2 Improved Local Government Capacity			
INDICATOR: 1: Extent to which local governments are utilizing best practices to improve technical capabilities.			
UNIT OF MEASURE: The average score of those RUDOs who are reporting on this indicator for each year.*	**YEAR**	**PLANNED**	**ACTUAL**
	1997	Baseline	1.5
SOURCE: RUDO reports	1998	1.9	2.1
INDICATOR/DESCRIPTION: Each indicator has a set of four descriptive "stages." The stages describe the expected steps that occur along a continuum to achieve a given sub-intermediate result. Each RUDO identifies the stage at which its RUDO-funded and/or -managed activities are on the whole. The stages for each indicator were designed to allow for maximum flexibility for the field managers. G/ENV/UP has developed these indices in consultation with the RUDOs.	1999	2.7	2.6*
	2000	3.0	
	2001	3.3**	
COMMENTS: * RUDOs reporting: Harare, Jakarta, New Delhi, Pretoria, Rabat, Warsaw ** The Warsaw RUDO will graduate in FY 2000; therefore, this and subsequent targets will average stages from the remaining RUDOs that report on this indicator.	2002	3.4	

Stage/Level			
1	**2**	**3**	**4**
No formal mechanisms in place for exchange implementation of best practices.	Local governments are connected to databases or are part of a network that exposes them to best practices.	Local governments are implementing best practices.	Local governments are implementing best practices and see impact on technical capacity.

IR2.2.2 PERFORMANCE DATA TABLE – IMPROVED LOCAL GOVERNMENT CAPACITY, INDICATOR 2

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997	**COUNTRY/ORGANIZATION:** G/ENV/UP		
RESULT NAME: IR 2.2.2 Improved Local Government Capacity			
INDICATOR: 2: Extent to which local governments are managing the delivery of urban services efficiently.			
UNIT OF MEASURE: The average score of those RUDOs who are reporting on this indicator for each year.*	**YEAR**	**PLANNED**	**ACTUAL**
	1997	Baseline	1.3
SOURCE: RUDO reports	1998	1.6	2.1
INDICATOR/DESCRIPTION: Each indicator has a set of four descriptive "stages." The stages describe the expected steps that occur along a continuum to achieve a given sub-intermediate result. Each RUDO identifies the stage at which its RUDO-funded and/or -managed activities are on the whole. The stages for each indicator were designed to allow for maximum flexibility for the field managers. G/ENV/UP has developed these indices in consultation with the RUDOs. **COMMENTS:** ***** RUDOs reporting: Pretoria, Rabat, Warsaw ** The decrease in this target is due to the graduation of the Warsaw RUDO, whose absence from the ratings will affect the weighting and sum of the average (the RUDO set a target of 4.0 in FY 2000).	1999	2.5	2.8*
	2000	3.1	
	2001	3.0**	
	2002	3.5	

Stage/Level			
1	**2**	**3**	**4**
Local gov'ts using systems with limitations.	Local gov'ts have identified ways to improve the efficiency of urban service delivery.	Local gov'ts are adopting more efficient measures to change their delivery of urban services.	Local gov'ts have adopted managerial changes and as a result are finding less leaks in their water systems (or other similar results).

IR2.2.2 PERFORMANCE DATA TABLE – IMPROVED LOCAL GOVERNMENT CAPACITY, INDICATOR 3

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997	**COUNTRY/ORGANIZATION:** G/ENV/UP		
RESULT NAME: IR 2.2.2 Improved Local Government Capacity			
INDICATOR: 3: Extent to which municipalities are implementing disaster mitigation practices.			
UNIT OF MEASURE: The average score of those RUDOs who are reporting on this indicator for each year.*	**YEAR**	**PLANNED**	**ACTUAL**
	1997	Baseline	1.6
SOURCE: RUDO reports	1998	2.0	2.2
INDICATOR/DESCRIPTION: Each indicator has a set of four descriptive "stages." The stages describe the expected steps that occur along a continuum to achieve a given sub-intermediate result. Each RUDO identifies the stage at which its RUDO-funded and/or -managed activities are on the whole. The stages for each indicator were designed to allow for maximum flexibility for the field managers. G/ENV/UP has developed these indices in consultation with the RUDOs.	1999	3.7	3.8*
	2000	3.7	
	2001	3.7	
COMMENTS:	2002	3.7	
* RUDOs reporting: New Delhi			

Stage/Level			
1	**2**	**3**	**4**
No disaster mitigation or preparedness policies in place.	Policies and or pilot projects being introduced into disaster prone areas.	Disaster mitigation projects being implemented. Programs being replicated.	In the event of a disaster, new projects and/or policies have assisted in the mitigation of the disaster.

IR2.2.2 PERFORMANCE DATA TABLE – IMPROVED LOCAL GOVERNMENT CAPACITY, INDICATOR 4

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997	**COUNTRY/ORGANIZATION:** G/ENV/UP		
RESULT NAME: IR 2.2.2 Improved Local Government Capacity			
INDICATOR: 4: Extent to which local governments officials are being trained in modern management practices.			
UNIT OF MEASURE: The average score of those RUDOs who are reporting on this indicator for each year.*	**YEAR**	**PLANNED**	**ACTUAL**
	1997	Baseline	1.6
SOURCE: RUDO reports	1998	1.6	2.0
INDICATOR/DESCRIPTION: Each indicator has a set of four descriptive "stages." The stages describe the expected steps that occur along a continuum to achieve a given sub-intermediate result. Each RUDO identifies the stage at which its RUDO-funded and/or -managed activities are on the whole. The stages for each indicator were designed to allow for maximum flexibility for the field managers. G/ENV/UP has developed these indices in consultation with the RUDOs. **COMMENTS:** *****RUDOs reporting: New Delhi, Pretoria	1999	2.0	2.5*
	2000	3.0	
	2001	3.0	
	2002	3.3	

Stage/Level			
1	**2**	**3**	**4**
Existing training programs for local gov't officials need updating.	Appropriate training programs are being developed.	Local gov't officials are attending training sessions as part of their career management plans.	Local gov't officials trained are training others in practices learned from training sessions.

IR2.2.3 PERFORMANCE DATA TABLE – INCREASED LOCAL GOVERNMENT AUTONOMY, INDICATOR 1

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997	**COUNTRY/ORGANIZATION:** G/ENV/UP		
RESULT NAME: IR 2.2.3 Increased Local Government Autonomy			
INDICATOR: 1: Extent to which transfers are predictable, reliable and equitable.			
UNIT OF MEASURE: The average score of those RUDOs who are reporting on this indicator for each year.*	**YEAR**	**PLANNED**	**ACTUAL**
	1997	Baseline	3.0
SOURCE: RUDO reports	1998	3.3	3.3
INDICATOR/DESCRIPTION: Each indicator has a set of four descriptive "stages." The stages describe the expected steps that occur along a continuum to achieve a given sub-intermediate result. Each RUDO identifies the stage at which its RUDO-funded and/or -managed activities are on the whole. The stages for each indicator were designed to allow for maximum flexibility for the field managers. G/ENV/UP has developed these indices in consultation with the RUDOs.	1999	3.7	2.9*
	2000	3.2**	
	2001	3.0***	
COMMENTS: * RUDOs reporting: Warsaw, Jakarta, Pretoria, Harare, Guatemala	2002	4.0	
** The decrease in this target is due mainly to the close of the FEMICA Assistance program through the Guatemala RUDO. This program had a target of 4.0 in FY 1999.			
*** The further decrease in this target is due to the graduation of the Warsaw RUDO, whose absence from the ratings will affect the weighting and sum of the average (the RUDO set a target of 4.0 in FY 2000).			

Stage/Level			
1	**2**	**3**	**4**
Transfers do not occur between central and local governments.	Grants and project finance are provided to local gov'ts based solely on individual lobbying efforts and political favors.	Ministry of Finance or Interior has public and explicit policy outlining criteria for transfers to local gov'ts.	Transfer formulas are considered progressive and equitable and based on a country's explicit strategic policy.

IR2.2.3 PERFORMANCE DATA TABLE – INCREASED LOCAL GOVERNMENT AUTONOMY, INDICATOR 2

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997	**COUNTRY/ORGANIZATION:** G/ENV/UP		
RESULT NAME: IR 2.2.3 Increased Local Government Autonomy			
INDICATOR: 2: Extent to which central/state policies, codes, and practices are implemented to facilitate autonomy in decision making and revenue generation.			
UNIT OF MEASURE: The average score of those RUDOs who are reporting on this indicator for each year.*	**YEAR**	**PLANNED**	**ACTUAL**
	1997	Baseline	1.8
SOURCE: RUDO reports	1998	2.2	2.7
INDICATOR/DESCRIPTION: Each indicator has a set of four descriptive "stages." The stages describe the expected steps that occur along a continuum to achieve a given sub-intermediate result. Each RUDO identifies the stage at which its RUDO-funded and/or -managed activities are on the whole. The stages for each indicator were designed to allow for maximum flexibility for the field managers. G/ENV/UP has developed these indices in consultation with the RUDOs. **COMMENTS:** * RUDOs reporting: Pretoria, Jakarta, Warsaw, Harare ****** The decrease in this target is due to the graduation of the Warsaw RUDO, whose absence from the ratings will affect the weighting and sum of the average (the RUDO set a target of 3.5 in FY 2000).	1999	2.5	2.5*
	2000	3.2	
	2001	3.0**	
	2002	3.0	

Stage/Level			
1	**2**	**3**	**4**
Policies in place are inadequate for providing minimal autonomy.	Key autonomy issues by local governments are identified and working groups established that include NGOs and the public.	Policies are being voted or agreed upon by central governments to allow for more municipal autonomy.	Autonomy policies implemented and enforced.

IR2.2.3 PERFORMANCE DATA TABLE – INCREASED LOCAL GOVERNMENT AUTONOMY, INDICATOR 3

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997 **COUNTRY/ORGANIZATION:** G/ENV/UP			
RESULT NAME: IR 2.2.3 Increased Local Government Autonomy			
INDICATOR: 3: Extent to which municipalities are implementing network activities.			
UNIT OF MEASURE: The average score of those RUDOs who are reporting on this indicator for each year.*	**YEAR**	**PLANNED**	**ACTUAL**
	1997	Baseline	1.2
SOURCE: RUDO reports	1998	1.4	2.0
INDICATOR/DESCRIPTION: Each indicator has a set of four descriptive "stages." The stages describe the expected steps that occur along a continuum to achieve a given sub-intermediate result. Each RUDO identifies the stage at which its RUDO-funded and/or managed activities are on the whole. The stages for each indicator were designed to allow for maximum flexibility for the field managers. G/ENV/UP has developed these indices in consultation with the RUDOs.	1999	3.1	3.0*
	2000	3.3	
	2001	3.0**	
COMMENTS:			
* RUDOs reporting: Jakarta, New Delhi, Pretoria, Warsaw, Guatemala ****** The decrease in this target is due to the graduation of the Warsaw RUDO, whose absence from the ratings will affect the weighting and sum of the average (the RUDO set a target of 4.0 in FY 2000).	2002	3.7	

Stage/Level			
1	**2**	**3**	**4**
No networks established.	Networks established and common agendas are agreed upon that point to specific actions.	Action plans being implemented throughout municipalities.	Network activities are sustained over time.

IR2.2.4 PERFORMANCE DATA TABLE – ENHANCED LOCAL GOVERNMENT ACCOUNTABILITY

OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas			
APPROVED: 09/05/1997 **COUNTRY/ORGANIZATION:** G/ENV/UP			
RESULT NAME: IR 2.2.4 Enhanced Local Government Accountability			
INDICATOR: 1: Extent to which the public has access and is able to influence local governments on key environmental issues.			
UNIT OF MEASURE: The average score of those RUDOs who are reporting on this indicator for each year.*	**YEAR**	**PLANNED**	**ACTUAL**
	1997	Baseline	1.6
SOURCE: RUDO reports	1998	1.9	2.4
INDICATOR/DESCRIPTION: Each indicator has a set of four descriptive "stages." The stages describe the expected steps that occur along a continuum to achieve a given sub-intermediate result. Each RUDO identifies the stage at which its RUDO-funded and/or -managed activities are on the whole. The stages for each indicator were designed to allow for maximum flexibility for the field managers. G/ENV/UP has developed these indices in consultation with the RUDOs.	1999	2.5	2.9*
	2000	2.6	
	2001	3.1	
COMMENTS:	2002	3.2	
* RUDOs reporting: Jakarta, New Delhi, Rabat, Warsaw			

Stage/Level			
1	**2**	**3**	**4**
No public meetings or open forums for discussion.	Public meetings are scheduled and occur on an as-needed or regular basis.	Evidence of public input to the budget changes is due to either citizen pressure; planning changes; or infrastructure investment changes.	Evidence that public has influence over city policies would be linking public meetings to budget preparation; or investment plans; or changes in management at city hall.

IR2.3: Reduced Urban Pollution

Self-Assessment

In FY 1999, IR 2.3 exceeded its target. Expectations were measured against an index whereby points were awarded according to progress by a municipality in the adoption of an environmental management systems (EMS) approach to reducing urban pollution, including systems to reduce greenhouse gas emissions.[9] The number of points planned for FY 1999 was four; the actual number of points achieved was six (see performance data table 2.3). This result translates into cities in three countries (five in Mexico, five in the Philippines, one in Morocco) that have completed phase one of program development (i.e. developed a methodology and provided training in the implementation of an EMS or climate change activity to reduce urban pollution). Additional points will be gained over time through the implementation of phase two (i.e. adopt policies, establish targets, and institute self-monitoring mechanisms).

Summary

Urban pollution threatens both the health and productivity of urban populations and natural ecosystems, which, in turn, undermines sustainable development. USAID urban activities contribute to the Agency's Strategic Goal 5*: The World's environment protected for long-term sustainability*. The purpose of IR 2.3, *Reduced urban pollution*, is to improve the living conditions of urban residents through improved municipal pollution management. USAID provides technical assistance, training, and exchange of information that enables host countries to improve their ability to successfully manage the urbanization process. Program beneficiaries are residents of targeted municipalities who are particularly vulnerable to urban pollution, such as industrial wastes, untreated sewage, and contaminated water supplies.

Key Results

Cities for Climate Protection*.** Under a cooperative agreement with the International Council for Local Environmental Initiatives (ICLEI), USAID is helping five cities in Mexico and five cities in the Philippines reduce greenhouse gas emissions as part of the ***Cities for Climate Protection program. Reductions are achieved over a two-year period through the implementation of a five-milestone performance framework: (1) prepare emissions profile and forecast, (2) establish reduction targets, (3) prepare action plan, (4) implement action plan, and (5) monitor and verify reductions. At the end of FY 1999, 70% of participating cities had completed their inventories and forecasts and all had identified a range of activities to reduce greenhouse gas emissions. For example, Naga City in the Philippines secured funding from the World Bank to convert 68 percent of the city's streetlights from mercury-vapor to more efficient sodium-vapor lamps. This conversion resulted in direct cost savings, as well as a reduction of CO_2 emissions by 57 metric tonnes per year.

[9] The EMS approach involves working with municipalities and industries to identify the most important pollution sources and address these in a planned and prioritized manner. The elements of an EMS are based on ISO 14001, a non-governmental international standard approved by the International Organization for Standardization and originally designed to apply to private sector corporations. Corporations that design and implement an EMS and obtain certification are informing their customers as well as regulators that they have instituted internal management procedures to comply with environmental regulations and improve performance continuously over time. The main drivers for introducing an EMS are the same for cities as they are for corporations: generation of multiple waste streams, need to protect public health, and the need to comply with environmental standards.

Local Government Industrial Partnerships. To complement the Cities for Climate Protection program, the IR2.3 team is applying the Environmental Protection Agency's ***Climate Wise program*** model to encourage industries located within the ICLEI cities to also reduce greenhouse gas emissions. The program works directly with industries to develop emissions inventories and create implementation plans outlining positive action towards reducing greenhouse gas emissions. In Cebu and Cagayan de Oro in the Philippines, and Queretaro and San Luis Potosi in Mexico, each municipality already has initiated partnerships with their industrial base through the signing of Memoranda of Understanding to inventory and reduce greenhouse gas emissions. In addition, several major companies have already begun participating in the effort. For example, almost 15 companies, including Del Monte and Shemburg, are participating in the Philippines program. These efforts have been incorporated in the Demand Side Management programs of the electric power utilities serving the two cities.

Phasing Lead Out of Gasoline. USAID, in collaboration with EPA, published a document "Implementer's Guide to Phasing Out Lead in Gasoline." The guide is intended to support the worldwide phaseout of lead in gasoline by providing a checklist and guidance for government officials tasked with developing and implementing a lead phaseout policy and strategy. Copies of the guide have been sent to the environment ministers from HABITAT countries as well as to members of Asia-Pacific Economic Council. The guide was also introduced and disseminated at an US-AEP-sponsored lead phaseout workshop in Vietnam. In FY 2000, G/ENV will support a similar workshop in the Philippines.

Municipal and Industrial Waste Management. In partnership with UNDP, the RUDO in India organized a regional forum held in Dhaka, Bangladesh to discuss urban solid waste management issues. Consisting of local government officials from India, Bangladesh, Sri Lanka, and Nepal, the forum informed officials how to implement effective community solid waste management activities, such as composting and recycling programs. In Morocco, RUDO officials are helping establish and implement an EMS for wastewater effluent monitoring and treatment for the fish processing and hotel industries in greater Agadir. A multi-sectoral, multi-agency committee was established, industry surveys were started, and effluent testing began in early FY 2000.

Energy Efficiency in Residential Buildings. As part of one of the first round of ***Development Credit Authority (DCA) projects*** Agency-wide, the RUDO in Poland coordinated a guarantee agreement covering a $10 million portfolio of energy efficiency loans with BISE Bank. Targeted at multifamily cooperatives and condominiums requiring urgent energy improvements, the guaranteed loans are expected to result in up to a 30% reduction in energy use per building.

Advancing Cleaner Technologies and Processes. The ***Latin America Initiative for Environmental Technology (LA-IET)***, managed under a cooperative agreement with the Environmental Export Council (EEC), seeks to increase the role of the private sector in environmentally sustainable development. In FY 1999, the program supported a series of conferences in Central America on cleaner production technologies for the food processing, tourism and textiles industries. One result of these events was an increased awareness of U.S. suppliers of environmental goods and services. For example, during the food processing conference, a California technology firm, Hydrocal, sold an odor control system to Productos del Mar Tico of Costa Rica.

In the Andean Region, EEC has worked with the Chambers of Industry in Bolivia, Peru and Ecuador to establish a revolving fund for clean production, which in Bolivia has attracted resources from other donor agencies. Also in FY 1999, the LA-IET program supported the publication "***Environmental Markets in the Andean Region***". This report describes potential market opportunities for U.S. technology equipment and service providers in the areas of water supply and sanitation, industrial wastewater treatment, air pollution control, waste management, pollution prevention and environmental consulting services.

Through the ***Latin American Fund for the Environment***, the program also fosters the application of U.S. environmental experience, technology, and practice to promote energy efficiency and pollution prevention (e.g. wastewater treatment, recycling, solid waste) in Latin America and the Andean region. Many U.S. firms have successfully implemented initial market entry strategies and exploratory missions and are moving on to building working relationships with their Latin American partners. Since 1996, the Fund has partnered with over 20 non-profit organizations and over 50 small U.S. firms representing 23 states and has approved 51 projects in 23 nations across Latin America. Twelve projects were approved in FY 1999.

The ***Peru Mining Industry Partnership*** also introduces U.S. environmental expertise, technologies, and practices, with the objective of reducing pollution associated with the mining industry in Peru. U.S. mining experts worked with 13 participants at three mines to assess existing practices and technologies and to offer recommendations for implementing pollution prevention interventions. To strengthen this technical assistance component, five representatives from each mine attended the Annual Meeting of Mining Engineers in Colorado, participated in mine tours and observed U.S. mining technologies. To promote U.S. mining technology, the Institute prepared a sourcebook, "Environmental Technologies for the Nonferrous Metals Mining Industry." This document included information about 69 U.S. vendors of mining technologies and services. Five hundred copies of the document were distributed to Peruvian mining industry representatives both at the executive and technical staff levels. Additional copies were distributed to mining institutions in Ecuador and Bolivia.

Performance and Prospects

For FY 1999, I.R. 2.3 exceeded its target for its one indicator, *Progress toward implementation of improved urban environmental management systems.* Eleven cities in three countries have adopted systems to improve environmental performance over time. In FY 2000, all cities are on track to completing phase two. One additional city, Richards Bay, South Africa, explored the idea of participating in the EMS program but ultimately declined given other priorities. The local governments participating in this effort have moved forward at an aggressive pace to complete their local inventories of greenhouse gas emissions. Several workshops have been held in both Mexico and the Philippines with local governments and industries to expedite the process. The cities' work has culminated, for example, in the Philippines during the most resent workshop in February of 2000. During this workshop, a representative of the Manila Observatory provided local government participants feedback to fill in data holes and finalize their cities' inventories. The process of developing inventories has already proved extremely fruitful to the participants by identifying critical areas in which to focus resources and develop projects. In fact, each city has used the work on inventories to help develop one to three fast tracked projects to implement that are low cost or have dramatic paybacks.

Prospects for continued success appear hopeful given mission demand for both the EMS and Cities for Climate Protection programs. India, Indonesia and South Africa have expressed interest in supporting the Cities for Climate Protection program. Guatemala and Mexico have expressed interest in applying the EMS approach to reducing urban pollution. While partial funding for many of these activities has been secured, full funding for all activities will be dependent on each activity's ability to attract resources from different operating units (e.g., Global Bureau, regional bureaus, missions, Climate Change Team, US-AEP and other donors such as the Inter-American Development Bank [IDB]).

Possible Adjustments to Plans

Reporting results according to progress against an index was intended as a transitional indicator for FYs 1999 and 2000 for IR2 .3. Another unit of measurement under this indicator, N*umber of local governments that are implementing improved Environmental Management Systems*, was added in FY 1999 as a further measure of program success (hence, the FY 1999 result of 11 cities serves as the baseline for this measurement). As the IR 2.3 team is moving to integrate industrial-based pollution prevention programs with municipal-based programs, the team will further assess the effectiveness of reporting by an index and will revise or add indicators accordingly.

The ability of the IR team to continue to meet or exceed its targets depends in large measure on the availability of resources to fund the implementation of the team's "Strategy and Program Description to Promote Greenhouse Gas Mitigation and Climate Change Adaptation in Urban Areas". The team's capacity to provide missions and RUDOs with technical assistance to develop urban environmental or GCC strategies, action plans or evaluations will also be dependent on the availability of funds to support team staff.

Other Donor Programs

ICLEI collaborates with its field offices in Australia and Japan and each country's development assistance agencies to support the Cities for Climate Protection programs within the region. The EMS work in Mexico involves the Center for Cleaner Production, a United Nations supported organization.

Principal Contractors, Grantees, or Agencies

The principal partners for IR 2.3 include: the International Council for Local Environmental Initiatives, Hagler Bailly Services, Inc., the Environmental Export Council, the Kenan Institute, the National Association for State Development Agencies, the North/South Center of the University of Miami, and the U.S. Environmental Protection Agency. In addition, the team has collaborated closely with G/ENV/EET's IR 3.1 for reducing greenhouse gas emissions in Mexico, EET's cross-cutting training team on the development of an EMS course for municipalities, and with the Environmental Law Program (ELP) to develop training materials on legal and policy frameworks related to urban environmental management issues in Latin America. IR 2.3 also worked with the IR 1.2 team on the development of an urban forestry activity in South Africa.

IR2.3. PERFORMANCE DATA TABLE

<table>
<tr><td colspan="4">OBJECTIVE: SSO2: Improved Management of Urbanization in Targeted Areas</td></tr>
<tr><td colspan="2">APPROVED: 09/05/1997</td><td colspan="2">COUNTRY/ORGANIZATION: G/ENV/UP</td></tr>
<tr><td colspan="4">RESULT NAME: IR 2.3: Reduced urban pollution</td></tr>
<tr><td colspan="4">INDICATOR: 1: Progress toward implementation of improved urban environmental management systems.</td></tr>
<tr><td rowspan="10">UNIT OF MEASURE: (1) Index composed of points awarded for completion of steps toward implementation of an Environment Management System (GCC and EMS approaches), and (2) Number of Cities implementing an EMS

SOURCE: RUDO and partner reports.

INDICATOR/DESCRIPTION: When this SSO indicator was first added in FY99, the unit of measure was an index composed of points awarded for completion of steps toward implementation of Environmental Management Systems via municipal-based programs. Points are cumulative annually and across pilot cities. Index is not necessarily sequential. Index applies to both GCC and EMS models.

Phase 1: EMS and GCC Program Development
c. Developed general methodology and materials (1 point per country)
d. Identified and trained partners in pilot cities (1 point per country)
Phase 2: EMS and GCC Program Implementation
d. Identified and adopted policies at municipal level (2 points)
e. Developed local implementation plan with targets and measures (4 points)
f. Instituted impact monitoring and feedback mechanisms (2 points)

This index was intended as a transitional indicator for FYs 1999-2000. As the IR moved to integrate industrial-based pollution prevention programs with municipal-based programs, SSO2 decided in FY1999 to add another measurement—”number of local governments that are implementing improved Environmental Management Systems.” FY 1999 serves as the baseline for this measurement.

COMMENTS:
* The original target of 4 assumed the achievement of Phase 1 only in Mexico and the Philippines. The actual of 6 in FY 1999 equals 2 points each for EMS/GCC Phase 1 completion in the Philippines, Mexico, and Morocco.
**11 cities = 5 cities in Mexico, 5 cities in Philippines, 1 city in Morocco</td><td>YEAR</td><td>PLANNED</td><td>ACTUAL</td></tr>
<tr><td>1997</td><td>N/A</td><td></td></tr>
<tr><td>1998</td><td>N/A</td><td></td></tr>
<tr><td rowspan="2">1999</td><td>4*</td><td>6*</td></tr>
<tr><td>Baseline**</td><td>11**</td></tr>
<tr><td rowspan="2">2000</td><td>11</td><td></td></tr>
<tr><td>TBD</td><td></td></tr>
<tr><td>2001</td><td>TBD</td><td></td></tr>
<tr><td>2002</td><td></td><td></td></tr>
<tr><td>2003</td><td>TBD</td><td></td></tr>
</table>

SSO3 Intermediate Results

IR3.1 Increased Energy Efficiency

Self-Assessment

In FY 1999, the Energy Efficiency Team met performance targets for Intermediate Result 3.1 (IR 3.1), *Increased energy efficiency*. The IR 3.1 team exceeded three of six active Intermediate Result (IR) level targets and fell short of the remaining three.

Summary

Improving energy efficiency affects not just in-country generation capacity, macro-economic growth, and international greenhouse gas reductions. Improving energy efficiency is a cost-effective means of addressing environmental, energy, and economic problems facing developing countries. Increased energy efficiency allows individuals increased access to electricity. Energy efficiency is often the easiest and least expensive way to avoid the need for new power plants, to reduce pollutants, and to lower a nation's economic burden of energy imports. Energy efficiency also increases the competitiveness of an industry or country while at the same time creating jobs.

Individuals profit from increased access to electricity through improved energy efficiency. 1 MW saved through energy efficiency can release enough energy to enhance electrical service to 5,000 rural customers: this increase is significant for the rural poor. The typical crop farmer in a developing country spends over 1000 hours per year hauling water for irrigation. By electrifying the irrigation process, only 100 hours are needed for the process and a four-fold increase in crop related income is normally obtained.

The purpose of this program is to conserve energy in USAID-assisted countries through activities designed to increase the efficiency of production and end-use. A key focus area for the program is to strengthen the in-country, non-governmental organization (NGO) capacity to implement energy efficiency projects such as school lighting and shifting industrial energy use to off-peak hours. Program work includes fostering the growth of private energy service companies and NGO energy efficiency centers. Another key focus area for IR 3.1 activities is influencing the "enabling environment" to allow increased public and private participation in making cleaner and more efficient energy investments.

In FY 1999, SSO3 energy efficiency activities focused on:

- **Promoting energy service company (ESCO) development** through the Moving Markets toward Energy Efficiency (MMEE) program implemented by Nexant. The program focuses on Brazil, India, and Egypt.
- **Developing and implementing energy efficiency labeling standards** through the Collaborative Labeling and Appliance Standards Program (CLASP) implemented by several SSO3 partners (see below). Initially, this activity will focus on Western Hemisphere appliance standard activities.
- **Enabling markets for energy efficiency products and services** through the Moving Markets Towards Energy Efficiency (MMEE) project implemented by NEXANT. The project is designed to create the appropriate public-private collaboration for successful long-term market transformation that would lead to sustainable energy markets.

- **Increasing the capacity of NGOs, governments, and associations to implement energy efficiency programs** through the Alliance to Save Energy (ASE) and Nexant. The ASE program focuses on Ghana, Brazil, and India.
- **Decreasing the threat of global climate change** through a cooperative agreement with the Business Council for Sustainable Energy Program, by supporting TCAPP activities, and by supporting SSO2's urban pollution and environmental management activities.
- **Providing energy efficiency related technical assistance to developing country partners** through the Lawrence Berkeley National Laboratory.
- **Providing training for energy efficiency activity development** through the Energy and Environment Training Program (EETP). In Brazil, Ghana, and the Philippines, in-depth courses were given in Economic and Financial Evaluation of Energy Efficiency Projects and Energy Efficiency Entrepreneurship.
- **Promoting a public dialogue and new policies to promote energy efficiency** through program activities in Central America, India, the Philippines, and Egypt.

There are 2 multi-partner programs conducted by the energy efficiency team. The Collaborative Labeling and Appliance Standards Program (CLASP) addresses several aspects of global energy efficiency standards implementation through agreements with the Alliance to Save Energy, International Institute for Energy Conservation, and Lawrence Berkeley National Laboratory. The Business Council for Sustainable Energy Program (BCSE) is a private and public collaborative program designed to address global climate change through clean energy technologies implemented through the Business Council for Sustainable Energy and its private and public sector members.

The energy efficiency team has cooperative agreements to implement programmatic activities with the Business Council for Sustainable Energy, Alliance to Save Energy, and International Institute for Energy Conservation. Through the energy IQC, the energy efficiency team implements the Moving Markets toward Energy Efficiency program.
In addition, SSO3 has agreements to support energy efficiency activities with Lawrence Berkeley National Laboratories, Oak Ridge National Laboratories, and the United States Energy Association.

Key Results
During FY 1999 the team made progress in a number of areas and built the foundation for future results in India, Brazil, Central America, Egypt, Indonesia, Peru, the Philippines, and West Africa.

Supporting International Needs Survey of 27 Countries. Through the Collaborative Labeling and Appliance Standards Program (CLASP), USAID surveyed energy policy professionals in 27 countries in FY 1999. The survey assessed policymaker needs related to the development of worldwide energy efficiency standards and labels for appliances and equipment. The survey is part of a larger project in which Lawrence Berkeley National Lab, the Alliance to Save Energy, and IIEC are jointly producing a series of information and technical assistance tools to help policy makers develop and implement energy efficiency standards and labels.

Creating Sustainable Energy Markets. The IR 3.1 program encourages energy efficiency markets in economies undergoing restructuring. The Moving Markets Towards Energy Efficiency (MMEE) project has developed a comprehensive and collaborative framework that is focusing its efforts on the creation of the appropriate environment for the mobilization of private sector energy efficiency initiatives in Brazil, Egypt, and India. The project is designed to create the appropriate public-private collaboration for successful long-term market transformation that would lead to sustainable energy markets. In FY 1999, IR 3.1 trained twelve Egyptian banks in identifying and assessing energy efficiency projects. These efforts have led to greater awareness within the banks and improved decision making with regard to energy efficiency investments. A similar approach is being adopted in India where IR 3.1 worked with development financial institutions to build capacity in evaluating energy efficiency projects. In Brazil, IR 3.1 developed a market-based mechanism to spend the federally mandated 1% energy efficiency fund.

Supporting First Energy Efficiency NGO in Ghana. Through the Alliance to Save Energy, IR3.1 supported the establishment of the Ghana Energy Foundation (GEF). Through energy audits, the GEF demonstrates the benefits of energy efficiency as a means of reducing energy bills and increasing energy system reliability. In FY 1999, GEF conducted six industrial customer energy audits in collaboration with the Alliance to Save Energy.

Encouraging Energy Efficient Technology Growth in Ghana. IR 3.1 assisted the Energy Foundation of Ghana (GEF), through institutional strengthening support from the Alliance to Save Energy, to promote the use of compact fluorescent lights as an energy saving technology. As a result of GEF activities, the Electricity Corporation of Ghana, with both energy supply and distribution functions, took delivery of 6,000 CFLs. In turn, The Volta River Authority, the main power producer in Ghana, has begun to distribute CFLs to residential and industrial customers. Through a USAID supported consultant at GEF, radio and print advertising encourage the public to take advantage of the new energy efficient technology.

Leveraging Funds in Support of Energy Efficiency. IR 3.1 obtained a $106,000 grant from the W. Alton Jones Foundation to strengthen the Council of Energy Efficiency Companies of India (CEECI). The CEECI, launched in December 1998, is an association of Indian energy efficiency companies established to facilitate and promote the use of energy efficient technologies and practices. USAID's initial seed money of approximately $13,000 enabled IR 3.1, through the Alliance to Save Energy, to develop the program concept, define program mission, and leverage additional funding from the W. Alton Jones Foundation. Through subsequent CEECI activities, IR 3.1 leveraged an additional $1.5 million for an energy efficiency related performance-contracting project in an Indian pulp and paper factory.

Developing Technical Software to Increase Emissions Trading. Lawrence Berkeley National Laboratory (LBNL), in consultation with the U.S. Environmental Protection Agency, has concluded the development of a preliminary version of an integrated environmental and economic analysis spreadsheet-based tool (ProForma) for use in the formulation of renewable energy and energy efficiency projects. This tool will allow private sector developers of Joint Implementation and Clean Development Mechanism projects to satisfy international protocols on emissions trading. Follow-on USAID funding will support developing a ProForma User's

Manual, translating the manual into Spanish, beta-testing the software, and demonstrating the software at project development training workshops.

Supporting Energy Training to Developing Country Practitioners. IR 3.1 supported the cross-cutting Energy and Environment Training Program (EETP). Designed to build the capacity of local partners to implement energy sector reform activities, EEPT is a cost effective and rapid-response mechanism designed to address developing country energy training needs. For example in FY 1999, the EETP conducted a Training Needs Assessment (TNA) of the Bangladesh Power Development Board (BPDB) for USAID/Bangladesh. The TNA team worked with the BPDB to craft a Training Mission Statement declaring that "The BPDB will strive to reorganize the Training Directorate into a model training unit which will help elevate the BPDB as a world class performing electric utility." The Chairman of the BPDB ordered the Training Mission Statement to be printed, laminated, and distributed throughout BPDB offices in Bangladesh. USAID/Dhaka is contracting a Task Order through the EETP IQC to help the BPDB implement its Training Mission Statement. In addition, the EETP conducted a Training Needs Assessment for Egypt's El-Kureimat powerplant. The TNA team identified an opportunity to transform the current Egyptian training toward a certification-based program operated by the Egyptian operators and managers. To this end, USAID/Cairo is contracting a Task Order through the EETP IQC to help the Egyptian Electricity Authority implement the program.

Supporting SSO3's Energy Partnership Program. In FY 1999, IR 3.1 claimed results generated through USEA/USAID's Energy Partnership Program II. The partnership between the Visayan Electric Company (VECO), the second largest private utility in the Philippines, and Pacificorp which operates one of the largest open access, high-voltage transmission systems in the U.S., yielded several energy efficiency related results including improved distribution standards and technologies (see annex 3.1.4 for details). The partnership between CEPALCO, the third largest electric distribution company in the Philippines, and the Sacramento Municiple Utility District (SMUD) which generates and distributes power to the capital of California, is expected to yield significant policy results in FY 2000. In FY 1999, SMUD worked with CEPALCO in developing national distribution and transmission standards.

Performance and Prospects

Below is a review of IR 3.1 high level, "roll-up" indicators that contribute to overall SSO3 performance results.

Value Added Indicators

Indicator 1*: G/ENV field-based assistance provided in response to Mission/Bureau requests*. IR 3.1 responded to requests from 6 missions for technical assistance and training in Brazil, Ghana, Guatemala, Honduras, India, and Indonesia. For example in Peru and El Salvador, the IR 3.1 team provided technical and management assistance to development partners and missions, which often lacked personnel dedicated to fostering the production and use of environmentally sound energy through energy efficiency. In Ghana, for example, IR 3.1 staff assisted with the mission in developing a comprehensive national energy strategy. The mission was able to use IR 3.1 expertise to create an effective plan to address national energy problems caused by the impact of chronic drought on hydroelectric output.

Indicator 2: *Mission buy-ins, add-ons, OYB transfers, and IQC task orders*. IR 3.1 contributed to one cooperative agreement buy-in worth $50,000 from USAID/Brazil to the International Institute for Energy Conservation.

Indicator 3: *Number of USAID policies, strategies, and programs reflecting G/ENV leadership.* One USAID program reflected IR 3.1 intervention at the Agency level. The highlight of IR 3.1 Agency leadership activities was in Ghana were IR 3.1 spearheaded the development of the West Africa Energy Strategy. In addition IR 3.1 is assisting USAID/Honduras in working with the Government of Honduras to restructure the electricity sector.

Indicator 4: *Number of international policies, strategies, programs, and projects influenced by G/ENV leadership.* The IR 3.1 team helped fulfill U.S. foreign policy objectives and commitments in terms of reducing the threat of global climate change. The IR 3.1 team played a major role for the Agency in the implementation of TCAPP. In recognition of the need to establish a mechanism for implementing technology transfer under the United Nations Framework Convention on Climate Change (UNFCCC). The TCAPP program is currently assisting Brazil, China, Kazakhstan, Mexico, and the Philippines in attracting private sector investment in priority clean energy technologies to both meet development needs and reduce greenhouse gas emissions. The SSO3 team's work with TCAPP helped make the Agency a player in setting the U.S. government's international technology development and deployment. In addition, the IR 3.1 team is working closely with the Government of India, the Alliance to Save Energy, and USAID/India to develop reformed energy efficiency legislation for India. It is expected that new legislation will be passed in FY 2000.

Programmatic Indicators

IR 3.1: *Energy saved by adopting energy efficient technologies, practice, and policies.* Pending review of the performance-monitoring plan, IR 3.1 proposes not measuring *megawatts saved* as a performance indicator for energy efficiency activities. This indicator no longer provides an adequate measure of IR 3.1 programs. According to the IR 3.1 team, there is no acceptable formula to convert legislative and regulatory activities into megawatts saved. In FY 1999 IR 3.1 attempted to influence the "enabling environment" to allow increased public and private participation in making cleaner and more efficient energy investments. (see *IR 3.1 Performance Data Tables* for details)

IR 3.1.3: *Value of private and public investment leveraged by IR 3.1*. In FY 1999, the energy efficiency team leveraged over $2.06 million for the development and implementation of energy efficient programs and technologies. IR 3.2 expects a large increase in this indicator in FY 2000, based on pending $195.7 million worth of World Bank loans in El Salvador, Brazil, and India. (see *IR 3.1 Performance Data Tables* for details)

IR 3.1.1: *Number of energy efficiency policies adopted*. This indicator gauges IR 3.1 performance in supporting essential institutional and regulatory frameworks required to achieve improvements in the energy sector. 2 policies (though only one contributed to SSO3 Indicator 3) were adopted in FY 1999. (see *IR 3.1 Performance Data Tables* for details)

Possible Adjustments to Plans

The enabling conditions required for the development of energy efficiency improvements have been established in a number of countries - this should lead to satisfactory results in FY 2000. However, the IR targets will be reviewed and revised in FY 2000 to realistically gauge program performance.

Pending Congressional approval, IR 3.1 will receive and additional $13.5 million in FY 2001 from President Clinton's five year, $100 million *Clean Energy for the 21st Century Initiative*.

Other Donor Programs

IR 3.1 supports a technical energy efficiency expert at the World Bank's Asia Alternative Energy Unit. In addition, IR 3.1 works in conjunction with EPA in developing ProForma analytical software through an Interagency Agreement with Lawrence Berkeley Labs.

Major Contractors, Cooperators, and Grantees

IR 3.1 has cooperative agreements to implement programmatic activities with the Business Council for Sustainable Energy, Alliance to Save Energy, and International Institute for Energy Conservation. IR 3.1 also has agreements to support program activities with the Lawrence Berkeley National Laboratory. Through the Energy IQC, IR 3.1 works with NEXANT on the MMEE project. In addition IR 3.1 supports a staff assignment at the World Bank. Prime contractors in SSO3's two IQCs include: Hagler Bailly Services, Inc., NEXANT, Inc., AEAI, Inc., CORE International, Inc., Academy for Educational Development Inc., and the Institute for International Education.

IR3.1 Performance Data Table - Indicator 1

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: 17/04/1998	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT IR 3.1: Increased Energy Efficiency			
INDICATOR 1: Energy saved by adopting energy efficient technologies, practices, and policies			
UNIT OF MEASURE: Megawatts (MW)	**YEAR**	**PLANNED**	**ACTUAL**
	1996	Baseline	8
SOURCE: Collaborators, contractors, and stakeholders	1997	10	4
INDICATOR/DESCRIPTION: This indicator measures the energy saved (in megawatts) as a result of IR 3.1 interventions. This saving may be direct, such as through demonstration projects, or may be as a result of the catalytic role of IR 3.1's activities. To provide context, 1 megawatt will release enough energy to provide electric power to a community of about 5,000 residents in a developing country. **COMMENTS:** Pending review of the performance-monitoring plan, IR 3.1 proposes not using *megawatts saved* as a performance indicator for energy efficiency activities. This indicator no longer provides an adequate measure of IR 3.1 programs. According to the IR 3.1 team, there is no acceptable formula to convert legislative and regulatory activities into megawatts saved. In FY 1999 IR 3.1 attempted to influence the "enabling environment" to allow increased public and private participation in making cleaner and more efficient energy investments.	1998	12	4.3
	1999	14	0
	2000	N/A**	
	2001	N/A**	
	2002	N/A**	
	2003	N/A**	
	Total	N/A**	

***Preliminary revised targets pending review of the performance-monitoring plan.*

IR3.1.1 Performance Data Table - Indicator 1

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use

APPROVED: FY 1999 | **COUNTRY/ORGANIZATION:** G/ENV/EET

RESULT IR 3.1.1: Energy Efficiency Policies Adopted and Implemented

INDICATOR 1: Number of energy efficiency policies adopted and implemented

UNIT OF MEASURE: Number of policies

SOURCE: Collaborators, contractors, and stakeholders

INDICATOR/DESCRIPTION: Indicator tracks the full spectrum of national, state, and local policy reforms in which G/ENV assistance plays an instrumental role in advancing. G/ENV will track policies that are adopted **by governments**. Results to be monitored from policy reforms may include tax restructuring, reductions of fossil fuel subsidies, private power purchase agreements, passage, and enactment of energy codes and standards.

***COMMENTS:**

1. The Government of Iran moved to implement a refrigerator labeling scheme that will provide energy consumption and cost information to consumers. An Iranian government official cited the July 1997 Regional Conference on Energy Efficiency Standards and Labeling, organized and hosted by IIEC in Bangkok, as a critical input and impetus for the development of the Iranian label. IIEC, with USAID support, has been promoting national and regional standards and labeling programs for the past three years throughout Asia. (IIEC)

2. CEPALCO has implemented several DSM projects, including the replacement of inefficient air conditioners and lighting for commercial and residential customers, modeled from SMUD. CEPALCO is also conducting energy audits for residential and commercial customers - a process modeled directly from SMUD - to identify how customers use electricity.

Policies reported for FY 1999, but not verified. When verified, these results will be posted in FY 2000:

1. Revised energy efficiency legislation in India
2. New criteria for certifying energy efficiency projects in Brazil
3. Minimum federal building energy performance standards in Brazil
4. Cogeneration regulation reform in Brazil
5. Appliance labeling policy influenced in Ghana

YEAR	PLANNED	ACTUAL
1996	Baseline	5
1997	5	5
1998	5	4
1999	5	2*
2000	5	
2001	5	
2002	5	
2003	5	
Total	35	

IR3.1.2 Performance Data Table - Indicator 1

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: FY 1999	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT IR 3.1.2: Energy Efficiency Technologies Adopted and Replicated			
INDICATOR A: Number of cases in which efficient technologies are demonstrated and replicated in key industries			
	YEAR	**PLANNED**	**ACTUAL**
UNIT OF MEASURE: Number of cases	1996	Baseline	2
	1997	2	9
SOURCE: Collaborators, contractors, and stakeholders	1998	2	5
	1999	2	5*
INDICATOR/DESCRIPTION: Each energy-efficiency program will track the number of cases in which a G/ENV introduced technology is demonstrated in a key industry, and then replicated by partners. Key industries where technologies will be tracked include food processing, tanneries, lighting, and manufacturing.	2000	2	
	2001	3	
	2002	4	
	2003	5	
	Total	20	
***COMMENTS:** 1. In Ghana, USAID assisted The Energy Foundation of Ghana to promote the use of CFLs as an energy saving technology. As a result of GEF activities, the Electricity Corporation of Ghana, with both energy supply and distribution functions, took delivery of 6,000 CFLs; the first of a shipment of 200,000 units. (ASE) 2. In the Philippines, USAID assisted the Visayan Electric Company adopted energy efficient wedge type connector technology in primary line connections with currents above 100 amperes (USEA) 3. In the Philippines, USAID assisted the Visayan Electric Company adopt energy efficient stirrup and hot line clamp technology in primary line connections with less than 100 amperes (USEA) 4. In the Philippines, USAID assisted the Visayan Electric Company adopt energy efficient compression type connector on secondary line connections(USEA) **5.** In the Philippines, USAID assisted the Visayan Electric Company implement a pilot distribution feeder study to identify and quantify feeder losses (USEA)			

IR3.1.3 Performance Data Table - Indicator 1

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: FY 1999	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT IR 3.1.3: Increased Investment in Energy Efficiency			
INDICATOR A: Value of private and public investment leveraged by G/ENV			
UNIT OF MEASURE: U.S. dollars (millions)	**YEAR**	**PLANNED**	**ACTUAL**
	1996	Baseline	$83.5
SOURCE: Collaborators, contractors, and stakeholders	1997	85	$9.9
INDICATOR/DESCRIPTION: Mobilizing investments and engaging partner participation in environmentally sound energy production and use are priorities for SSO3. G/ENV/EET activities are measured at three levels: **Level I** USAID Mission and Bureau funding obligated in conjunction with G/ENV activities **Level II** a. External funding leveraged from partners for joint G/ENV activities b. Funding for activities in which G/ENV developed policies, regulations, or project pre-investment c. Obligated or committed funding for MDB loan programs d. Financial closure for private-sector funded programs **Level III** Funding generated to replicate G/ENV-pioneered programs (new obligations, commitments or financial closure)	1998	10	$0.904
	1999	10	$2.066*
	2000	2.5**	
	2001	3**	
	2002	3.5**	
	2003	4**	
	Total	118**	
*__COMMENTS:__ 1. **Level I I SSO 3 Indicator 2 Result -** In Brazil, USAID leveraged $.060 million from GZT to the Latin American Business Council for Sustainable Energy for energy efficiency programs (IIEC) 2. **Level I I SSO 3 Indicator 2 Result -** In India, USAID leveraged $1.5 million for a Indian pulp factory through a performance contracting project (ASE) 3. **Level I I SSO 3 Indicator 2 Result -** USAID leveraged $.106 million grant from W. Alton Jone to CEECI for expanding energy efficiency projects. (ASE) 4. **Level I I SSO 3 Indicator 2 Result -** In Ghana, USAID leveraged $.400 million from World Bank to Government of Ghana for initiating energy efficiency projects (LBNL) **Leverages reported for FY 1999, but not verified. When verified, these results will be posted in FY 2000:** 1. In El Salvador, the World Bank (through IR 3.1 interventions) contributed $4 million to a fund to finance energy efficiency investments 2. In Brazil, IR 3.1 assistance (through MMEE actvities) is helping to initiate a $30 million loan from the IFC for clean and efficient energy lines of credit. Creditbanca was influenced by IR 3.1 to house the new credit facility at a cost of $750,000. 3. In Brazil, IR 3.1 is working closely with IBRD to develop a $45 million energy efficiency loan to Brazil. The loan was approved in January 2000. **4.** In India, IR 3.1 activities influenced a $40 million IBRD loan to the state of Orissa and a $70 million IBRD loan to IREDA.			

********Preliminary revised targets pending review of the performance-monitoring plan.*

IR3.1.3 Performance Data Table - Indicator 2

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: 17/04/1998	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT IR 3.1.3: Increased Investment in Energy Efficiency			
INDICATOR B: Number of new energy service company (ESCO) projects in key countries.			
UNIT OF MEASURE: Number	**YEAR**	**PLANNED**	**ACTUAL**
	1997	Baseline	2
SOURCE: Collaborators, contractors, and stakeholders	1998	2	1
INDICATOR/DESCRIPTION: ESCO development is an important part of IR 3.1. The development and promotion of nascent ESCO industries in selected G/ENV-assisted countries can do much to establish energy efficiency as a means of saving money, increasing competitiveness, and being environmentally friendly. ***COMMENTS:** 1. In Ghana, USAID assisted in the establishment of the ESCO Association of Ghana through IR 3.1 capacity building activities (ASE) 2. In the Philippines, USAID assited the Cagayan Electric Power and Light Company (CEPALCO) and the utilities in the Cagayan-Iligan Corridor (CIC) develop a joint sub-transmission company; The Sacramento Municipal Utility District (SMUD) will review and advise Cepalco on the transmission design. (USEA) 3. In India, USAID assisted INTESCO-India in procuring funds for ESCO interventions from the IDBI. (IR 3.1) 4. In Egypt, USAID assisted ESCO development through the new MMEE program. (IR 3.1)	1999	2	4*
	2000	2	
	2001	2	
	2002	2	
	2003	2	
	Total	14	

IR3.1.4 Performance Data Table - Indicator 1

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use

APPROVED: 17/04/1998 | **COUNTRY/ORGANIZATION:** G/ENV/EET

RESULT IR 3.1.4: Improved Decision Making and Management by Host-Country Institutions

INDICATOR 1: Number of host-country institutions adopting improved operating policies, practices, or technologies

UNIT OF MEASURE: Number of electric utilities, government agencies, businesses

SOURCE: Collaborators, contractors, and stakeholders

INDICATOR/DESCRIPTION: Under IR 3.1, each public or private institution receiving G/ENV assistance will define the result being pursued to strengthen its institutional capacity.

***COMMENTS:**

1. In the Philippines, USAID strengthened the Government of Philippine's ability to purchase second hand EE equipment through IR3.1 capacity building activities. (IIEC)
2. In the Philippines, USAID strengthened the Philippines Department of Transportation and Communication's ability to implement integrated transport planning policy through IR3.1 capacity building activities. (IIEC)
3. In the Philippines, USAID strengthened the Philippine's Department of Public Work's ability to implement integrated transport planning policy through IR3.1 capacity building activities. (IIEC)
4. In the Philippines, USAID strengthened the Metro Manila Development Authority's ability to implement integrated transport planning policy through IR3.1 capacity building activities. (IIEC)
5. In Ghana, USAID strengthened the Accra Kotoka International Airport's ability identify EE opportunities as a result of an energy audit through IR3.1 partners. (ASE)
6. In Ghana, USAID strengthened the Ghana Trade Fair Authory's ability identify EE opportunities as a result of an energy audit through IR3.1 partners. (ASE)
7. In Ghana, USAID strengthened the North Ridge Hotel's ability identify EE opportunities as a result of an energy audit through IR3.1 partners. (ASE)
8. In Ghana, USAID strengthened the Pioneer Aluminum Company's ability identify EE opportunities as a result of an energy audit through IR3.1 partners. (ASE)
9. In Ghana, USAID strengthened the Darko Farm's awareness of EE projects through IR3.1 partners. (ASE)
10. In Ghana, USAID strengthened the Ghana State TVs ability identify EE opportunities as a result of USAID sponsored EE expert. (ASE)
11. In Ghana, USAID strengthened the Accra Kotoka International Airport's ability identify EE opportunities as a result of an energy audit through IR3.1 activities. (ASE)
12. In the Philippines, USAID strengthened the Fuel and Appliance Testing Lab's ability to initiate the development of motor efficiency, testing/labeling/standards program and to implement energy standards for new buildings in Philippines. (LBNL)
13. (items 13-24) MMEE strengthened 12 Egyptian Banks' ability to develop sustainable energy investments (NEXANT)

25. In Egypt, strengthened the Egyptian Energy Service Business Association to assist in developing sustainable energy investments

YEAR	PLANNED	ACTUAL
1996	Baseline	5
1997	5	27
1998	5	21
1999	10	25*
2000	25	
2001	25	
2002	25	
2003	30	
Total	125	

IR3.2 Increased Use of Renewable Energy Resources

Self-Assessment

In FY 1999, the Renewable Energy Team exceeded performance targets for Intermediate Result 3.2 (IR 3.2) -"Increased use of renewable energy". The IR 3.2 team exceeded six Intermediate Result (IR) level targets and met the seventh.

Summary

Renewable energy technologies frequently represent the least-cost-option for satisfying human needs, while using indigenous resources that do not contribute to global climate change. Renewable energy systems can be used to pump water for domestic and community uses including crop irrigation and livestock watering. It can power water purification systems. USAID renewable energy projects light schools and community centers, as well as, provide power for television sets and videocassette recorders for entertainment and long-distance learning. Renewable energy electrifies public health clinics allowing modern diagnostic equipment to be used, vaccines to be refrigerated, and utensils to be sterilized. Renewable energy projects power new commercial enterprises and expand existing ones.

USAID programs in renewable energy are directed at overcoming market and institutional barriers that prevent widespread use of renewable energy systems. USAID activities in the renewables can be divided into four categories: 1) adoption and implementation of policy or regulatory changes that level the playing field for renewables, 2) mobilization of business entities to pursue renewable energy, 3) increased public and private sector financial commitments to renewables, and 4) establishment or strengthening of host-country, non-profit institutions for the explicit purpose of promoting renewable energy technologies and services.

In FY 1999 significant IR 3.2 resources were devoted to G/ENV Global Climate Change activities. (see annex C for details)

Key Results

During FY 1999 the team made progress in a number of areas and built the foundations for future results in Brazil, Mexico, Central America, Southern Africa, Indonesia, the Philippines, and India.

Implementing On-grid and Off-grid Renewable Energy Systems. It is estimated that 1 megawatt (MW) of installed capacity can provide improved electric service to 5,000 rural customers. IR 3.2, in conjunction with USAID missions, the World Bank and Winrock International, installed over 99 MW of grid-connected renewable energy in India, Brazil, Indonesia, and Sri Lanka. Nearly 3000 small off-grid units were developed in India, South Africa, the Philippines, Mexico, Sri Lanka, and Indonesia, generating an estimated 20 MWs of clean electricity annually.

Developing Energy Loans in Coordination with World Bank and Winrock International. In FY 1999, the renewable energy team secured over $194.5 million in public and private funds for sustainable energy activities in Brazil, Guatemala, India, and the Philippines. IR 3.2 contributed to the development of these loans by sponsoring two renewable energy specialists at the World Bank (WB), supporting the travel of a WB renewable energy finance experts to the Philippines,

and coordinating closely with the WB, through Winrock International, to promote and support energy sector loans in four countries. (see Annex D *IR 3.2.3 Table* for more detail)

Supporting Energy Sector Hurricane Mitch Relief. The Hurricane Mitch Energy Sector Reconstruction Program is a multi-agency, multi-sector effort designed to enhance the capability of the Central American energy sectors to survive catastrophic weather events, while promoting environmentally sustainable energy use. In FY 1999, IR 3.2 developed the *Central American Energy Road Map* outlining areas in which energy sector reforms and technologies can enhance the reliability of energy systems in the wake of natural disasters. In coordination with IR 3.2 , SSO3's Energy and Environment Training Program (EETP) prepared a "checklist document" to identify current energy sector impact mitigation capabilities, develop options for energy sector short-term crisis management and long-term sustainable energy development, and assess current energy sector infrastructure capabilities. This product led to follow-on work with BHR/OFDA in developing training programs on disaster resilience.

Supporting Energy Training to Developing Country Practitioners. IR 3.2 supported the cross-cutting Energy and Environment Training Program (EETP). Designed to build the capacity of local partners to implement energy sector reform activities, EEPT is a cost -effective and rapid-response mechanism to address developing country energy training needs. The Energy Training Team built capacity in 29 people from six countries in its course on "Economic and Financial Evaluation of Renewable Energy Projects". EETP is currently delivering courses on "Renewable Energy Entrepreneurship" in the Philippines, Brazil, and Guatemala.

Supporting SSO3's Energy Partnership Program. In FY 1999, IR 3.2 supported partnerships formed under USEA/USAID's Energy Partnership Program II. In the Philippines, the partnership between CEPALCO, the third largest electric distribution company in the Philippines, and the Sacramento Municipal Utility District (SMUD) which generates and distributes power to the capital of California, is expected to yield significant renewable energy results in FY 2000. SMUD is advising CEPALCO on the installation of 1 megawatt of solar power in the city of Cagayan de Oro. SMUD, a leader in the US photovoltaic market, will serve as a valuable resource for CEPALCO's PV program. In Indonesia, the PT PLN Java-Bali Power Company I (PJB1) signed an agreement with the Portland General Operations Company, Inc. in FY 1999 to cooperatively review and evaluate proposals for the modernization and/or rehabilitation of PJB1 hydro-electric plants.

Performance and Prospects

Below is a review of IR 3.2's contribution to SSO3's "high level" performance indicators, as well as, IR 3.2's contributions to center-wide, value-added performance indicators.

Value-Added Indicators

Value-added Indicator 1: *G/ENV field-based assistance (TDYs) provided in response to Mission/Bureau requests.* IR 3.2 responded to requests from nine missions for technical assistance and training in AFR, ANE, and LAC, and provided 94 person-days of field support. The renewable energy team provided technical and managerial assistance to development partners and Missions, which often lacked personnel dedicated to fostering the production and use of environmentally sound energy.

Value-added Indicator 2: *Mission buy-ins, add-ons, OYB transfers, and IQC task orders*. Winrock International, an IR 3.2 cooperator, attracted over $820,000 in buy-ins in FY 1999 from USAID/Brazil and USAID/Mongolia.

Value-added Indicator 3: *Number of USAID policies, strategies, and programs reflecting G/ENV leadership*. In FY 1999, six USAID policies, strategies, and programs reflected IR 3.2 leadership at the Agency level. The highlight of IR 3.2 Agency leadership was in spearheading USAID's efforts in the Hurricane Mitch energy sector recovery effort.

Programmatic Indicators
IR 3.2: *Newly installed on-grid capacity*. This indicator provides an environmental indicator of SSO3's highest-level results once investments are expended and projects go online. Through new renewable energy projects, IR 3.2 helped reduce carbon dioxide emissions by 330,530 CTE in FY 1999.

IR 3.2.3: *New financing made explicitly available for renewable energy projects by the public and private sector*. This indicator assess whether SSO3 is assisting countries attract adequate financing for environmentally sound energy. To this end, The Renewable Energy Team leveraged $194.5 million in FY 1999.

IR 3.2.1 Indicator 3: *Number of public policies adopted and implemented that clearly favor renewable energy*. This indicator permits SSO3 to gauge performance in supporting essential institutional and regulatory frameworks required to achieve improvements in the energy sector. In FY 1999 as a result of IR 3.2 activities, ten polices were adopted or implemented exceeding the R4 target of four. For example in Brazil, the Renewable Energy Team, in conjunction with USAID/Brasilia and Winrock International, worked closely with the National Energy Regulatory Agency of Brazil (ANEEL) to assess the renewable energy aspects of ANEEL Resolution 245/99. This newly adopted law provides federal funds to electric utilities that invest in renewable or energy efficient technologies. This legislation provides a strong incentive for public- and investor-owned utilities to increase clean energy use.

Management Issues
In FY 1999, IR 3.2 developed six new procurement arrangements in FY 1999: Winrock International Cooperative Agreement II, World Bank Letter Grant, Organization of American States Grant, E&Co Cooperative Agreement*, International Institute for Energy Conservation (Solar Finance Consortium Cooperative Agreement),* and Sandia National Laboratories Interagency Agreement*.

* Developed, but not formally implemented, in FY 1999.

Possible Adjustments to Plans
With guidance from the new office director, SSO3 will review existing programs and refine the performance-monitoring plan.

Pending approval from Congress, USAID will receive $30 million in FY 2001, with $13.5 million expected to expand SSO3 activities, from President Clinton's five year, $100 million interagency *Clean Energy for the 21st Century Initiative*. The new initiative was designed to augment existing USAID energy sector reform and capacity building activities. If the money is awarded, the PMP will be revised to reflect new activities. However, without additional funding from the Clean Energy Initiative, SSO3 budget levels are expected to remain at $16 million in FY 2001 - down from the annual level of $18 million prior to FY 1999. This reduction may impact the ability of IR 3.2 to generate the projected level of results.

Other Donor Programs

IR 3.2 supported staff assignments at the World Bank (2) and the Organization of American States (1) that contribute to FY 1999 performance results.

USAID activities are catalytic in creating public and private finance options for developing country energy sectors. Much of the funding leveraged by IR 3.2 in FY 1999 was done in conjunction with the World Bank, USAID/Brazil, USAID/Philippines, and Winrock International.

Major Contractors, Cooperators, and Grantees

In FY 1999, IR 3.2 maintained cooperative agreements with Winrock International. In addition IR 3.2 implemented letter grants with the Organization of American States and the World Bank. IR 3.2 also supports a SSO3 cooperative agreement with the United States Energy Association. Prime contractors in SSO3's two IQCs include Hagler Bailly Services, Inc., NEXANT, Inc., AEAI, Inc., CORE International, Inc., Academy for Educational Development Inc., and the Institute for International Education.

IR3.2 Performance Data Table - Indicator 1

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use

APPROVED: FY 1999 | **COUNTRY/ORGANIZATION:** G/ENV/EET

RESULT IR 3.2: Increased Use of Renewable Energy

INDICATOR 1: Newly installed capacity on-grid

UNIT OF MEASURE: Megawatts (MW)

SOURCE: Winrock International

INDICATOR/DESCRIPTION: This indicator measures the capacity (in megawatts) of new generation facilities using renewable energy that comes on-line, linking to a national or regional electricity grid, as a result of IR 3.2's. To provide context, 1 MW will provide electric power to a community of about 5,000 residents in a developing country.

COMMENTS:

1. In Brazil, USAID assisted in the development of Central Eolica Prainha 10 MW wind generation facilities in the state of Ceara - **Level I GHG reduction for SSO3 Indicator 1**
2. In Brazil, USAID assisted in the development of Central Eolica - **Level I GHG reduction for SSO3 Indicator 1**
3. Prainha 5 MW wind generation facility in the state of Ceara - **Level I GHG reduction for SSO3 Indicator 1**
4. In Brazil, USAID assisted in the development of Usina de Palmas 2.5 MW wind generation facility in the state of Parana - **Level I GHG reduction for SSO3 Indicator 1**
5. In India, USAID assisted in the development of the Bhandardara 14 MW small hydro generation facility - **Level I GHG reduction for SSO3 Indicator 1**
6. In Indonesia, USAID (in collaboration with the World Bank) assisted in the development of 7.5 MWs of hydro-geothermal generation - **Level I I GHG reduction for SSO3 Indicator 1**
7. In Sri Lanka, USAID (in collaboration with the World Bank) assisted in the development of 10 MWs of wind-hydro generation - **Level I GHG reduction for SSO3 Indicator 1**
8. In India, USAID (in collaboration with the World Bank) assisted in the development of 50 MWs of wind and hydro generation - **Level I GHG reduction for SSO3 Indicator 1**

Total = 99.0 MW of on-grid renewable capacity
FY 1999 GHG reductions for SSO3 Indicator 1 = .33053 million CTE

YEAR	PLANNED	ACTUAL
1996	Baseline	49
1997	80	85.2
1998	85	92.5
1999	90	99.0*
2000	95	
2001	100	
2002	105	
2003	110	
Total	665	

IR3.2 Performance Data Table - Indicator 2

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: FY 1999	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT IR 3.2: Increased Renewable Energy Production			
INDICATOR 2: Newly installed systems off-grid			
UNIT OF MEASURE: The number of households, and service centers (health clinics, schools, etc.) that benefit from the small-scale energy systems.	**YEAR**	**PLANNED**	**ACTUAL**
	1996	Baseline	1,530
SOURCE: Winrock International	1997	4,000	12,500
INDICATOR/DESCRIPTION: Definition: Small renewable energy systems, not connected to the utility grid, provide energy services (electricity, heat, etc.) or other services for which energy is a necessary intermediary (such as water that needs to be pumped other than by animal power) to households, enterprises, telecommunications facilities, and social service centers (e.g., health clinics)	1998	8,000	1,295
	1999	2,000	2,749*
	2000	3,000	
	2001	4,000	
	2002	5,000	
	2003	6,000	
	Total	32,000	

***COMMENTS:**

1. In India, PRODEEM, in conjunction with USAID/Brazil and IR 3.2, installed 1,033 off-grid photovoltaic systems.
2. In South Africa, Shell and ESKOM, in conjunction with IR 3.2, installed 500 off-grid photovoltaic systems.
3. In the Philippines, IR 3.2, through the Village Power Fund, installed 5 off-grid mini hydro systems.
4. In the Philippines, IR 3.2, through the Village Power Fund, installed 5 off-grid photovoltaic systems.
5. In the Philippines, IR 3.2, through the Village Power Fund, installed 5 off-grid mini hydro systems.
6. In Mexico, IR 3.2, in conjunction with USAID/Mexico and FMDR, installed 1 UV water disinfection plant, 2 solar sills, and 1 electric fence.
7. In Sri Lanka, IR 3.2, in collaboration with the World Bank, installed 1000 SHS systems.
8. In Indonesia, IR 3.2, in collaboration with the World Bank, installed 500 SHS systems.
9. In Indonesia, IR 3.2, in collaboration with the Cakra Micro Hydo Project, installed 1 systems.

Total = 2,749 off-grid renewable energy systems

IR3.2.1 Performance Data Table - Indicator 1

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use

APPROVED: FY 1999 | **COUNTRY/ORGANIZATION:** G/ENV/EET

RESULT IR 3.2.1: Renewable Energy Policies Adopted and Implemented

INDICATOR 1: Number of policies or regulations adopted and implemented that are clearly favorable to renewable energy

UNIT OF MEASURE: Actual number of policies or sets of regulations adopted and implemented

SOURCE: Winrock International

INDICATOR/DESCRIPTION: This indicator tracks the national, state, and local policy or regulatory reforms that IR 3.2 plays an instrumental role in advancing. IR 3.2 tracks when governmental bodies formally adopt and implement policies or regulations. Results to be monitored include incentives adopted, subsidies for fossil fuels reduced or eliminated, and improved access laws for renewable energy resources.

***COMMENTS:**

1. In Brazil, IR 3.2 in conjunction with USAID/Brasilia and a SSO3 cooperators worked closely with the National Energy Regulatory Agency of Brazil (ANEEL) to assess the renewable energy aspects of ANEEL Resolution 245/99. This newly adopted law provides federal funds to electric utilities that invest in renewable or energy efficient technologies. This legislation provides a strong incentive for public and investor owned utilities to increase clean energy use.
2. In Brazil, IR 3.2 (in conjunction with USAID/Brazil and Winrock) influenced ANEEL Resolution 261/99. This law subsidizes power utilities investing in energy efficiency and R&D (including renewable energy technologies and project implementation)
3. In the Philippines, IR 3.2 (in conjunction with USAID/Philippines and Winrock) influenced the "enunciated policy" of the Philippine Department of Energy favoring private sector development of rural energy services and the promotion of RESCO development.
4. In Brazil, IR 3.2 in conjunction with USAID/Brasilia and a SSO3 cooperators worked closely with ANEEL to assess the renewable energy aspects of ANEEL Resolution 393/98: procedures for approval of inventory studies of hydrographic basins
5. In Brazil, IR 3.2 in conjunction with USAID/Brasilia and a SSO3 cooperators worked closely with ANEEL to assess the renewable energy aspects of ANEEL Resolution 394/98: criteria for enterprises to be considered small hydro plants
6. In Brazil, IR 3.2 in conjunction with USAID/Brasilia and a SSO3 cooperators worked closely with the ANEEL to assess the renewable energy aspects of ANEEL Resolution 395/98: procedures for approval of feasibility studies and basic projects of hydroeletric power plants
7. In Brazil, IR 3.2 in conjunction with USAID/Brasilia and a SSO3 cooperators worked closely with ANEEL to assess the renewable energy aspects of ANEEL Resolution 112/99: requisites for registry and/or authorization for implementation or expansion of renewable energy power plants
8. In Brazil, IR 3.2 in conjunction with USAID/Brasilia and a SSO3 cooperators worked closely with ANEEL to assess the renewable energy aspects of ANEEL Resolution 233/99: Normative Values as maximum energy buying prices allowed to be transferred to the supply tariffs
9. In Brazil, IR 3.2 in conjunction with USAID/Brasilia and a SSO3 cooperators worked closely with the Government of Brazil to assess the renewable energy aspects of *LUZ NO CAMPO* Federal Rural Electrification Program
10. In Brazil, IR 3.2 in conjunction with USAID/Brasilia and a SSO3 cooperators worked closely a state utility to assess the renewable energy aspects of COELBA's Appraisal on RE for Rural Electrification

YEAR	PLANNED	ACTUAL
1996	Baseline	0
1997	2	17
1998	4	10
1999	4	10*
2000	4	
2001	4	
2002	4	
2003	4	
Total	26	

IR3.2.2 Performance Data Table - Indicator 1

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: FY 1999	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT IR 3.2.2: Business Entities Mobilized for Renewable Energy			
INDICATOR 1: Businesses investing and joint ventures formed			
UNIT OF MEASURE: Actual member of businesses initiating new or more active pursuit of specific projects, and new joint ventures formed (with specific promotion of U.S.-host-country private sector partnerships) to do so.	**YEAR**	**PLANNED**	**ACTUAL**
	1996	Baseline	8
SOURCE: Collaborators, contractors, and stakeholders	1997	9	28
INDICATOR/DESCRIPTION: This indicator tracks the number of businesses that, as a result of assistance funded by IR 3.2, decide to pursue or increase the pursuit of developing specific renewable energy projects. In addition, new businesses or joint ventures that are newly formed with or as a result of IR 3.2 activity, with subsequent activity in pursuit of projects, will be counted.	1998	12	35
	1999	15	20*
	2000	20	
	2001	20	
	2002	20	
	2003	25	
	Total	127	

***COMMENTS:**

1. In Brazil, IR 3.2 (in conjunction with USAID/Brazil and Winrock) influenced Electrogoes' decision to explore a biomass generation project through a $3,000 pre-feasibility study grant.
2. In Brazil, IR 3.2 (in conjunction with USAID/Brazil and Winrock) influenced GPE's decision to explore a SHP generation project through a $3,500 project implementation grant. The partner subsequently contributed $312,500 (cost share).
3. In Brazil, IR 3.2 (in conjunction with USAID/Brazil and Winrock) influenced Astropower's decision to explore a PV generation project through a $1,500 pre-feasibility study grant. A partner subsequently contributed $20,000 (cost share).
4. In Brazil, IR 3.2 (in conjunction with USAID/Brazil and Winrock) influenced US Hydropower's decision to explore a generation project through a $4,500 pre-feasibility study grant.
5. In South Africa, through technical assistance IR 3.2 (in conjunction with USAID/RSCA and Winrock) influenced Shell/ESKOM's decision to expand a PV generation project.
6. In the Philippines, IR 3.2 (in conjunction with USAID/Brazil and Winrock) influenced Silk Roads Inc.'s decision to expand an anerobic digestion generation project through a $50,000 grant from WI for project design. The partner subsequently contributed $75,000 (cost share).
7. In the Philippines, IR 3.2 (in conjunction with USAID/Philippines and Winrock) influenced Busay Power Corp's decision to build a hydro generation project
8. In Indonesia, IR 3.2 (in conjunction with USAID/Indonesia and Winrock) influenced P.T. Cilengka Energi Surya's decision to expand a PV manufacturing facility through a $150,000 technical assistance grant. $148,000 was subsequently contributed by the partner (cost share).
9. In Indonesia, IR 3.2 (in conjunction with USAID/Indonesia and Winrock) influenced P.T. Cakra's decision to expand a micro-hydo generation facility manufacture through a $150,000project design grant. $82,750 was subsequently contributed by the partner (cost share).
10. In Indonesia, IR 3.2 (in conjunction with USAID/Indonesia and Winrock) influenced P.T. Altari's decision to expand a PV commercialization project through a $50,000 project design/implementation grant. The partner subsequently contributed $148,000 (cost share).
11. (11-20) 5 U.S. and 5 Philippine Hydro/PV companies

IR3.2.3 Performance Data Table - Indicator 1

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: FY 1999	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT IR 3.2.3: Increased Financial Commitments to Renewable Energy			
INDICATOR 1: New financing explicitly made available for, or committed to, renewable energy projects by the private or public sector			
UNIT OF MEASURE: U.S. dollars (million)	**YEAR**	**PLANNED**	**ACTUAL**
	1996	Baseline	$50
SOURCE: Collaborators, contractors, and stakeholders	1997	$375	$386.4
INDICATOR/DESCRIPTION: This indicator tracks three categories of financial commitments that are made for renewable energy projects, prior to construction or installation of hardware: (a) approval of loan packages dedicated to renewable energy by the multilateral development banks (public sector); (b) financial closure on specific projects by the private sector (which may include financing from private banks); and (c) obligation of financing for renewable energy technologies by non-MDB public sector entities. The intention of this indicator is to capture signals of intermediate success in mobilizing financing for investment. When systems subsequently are constructed or installed and are operating, then the data is reflected in the top-level indicators for IR 3.2. ***COMMENTS:** See annex 3.2.3 B for further details	1998	$150	$483
	1999	$175	$194.5
	2000	$200	
	2001	$225	
	2002	$250	
	2003	$275	
	Total	$1,650	

IR3.2.3 Performance Data Table - Supporting Documentation

Detailed List of Loans						
Year	**Country**	**Activity**	**Amount of Financing (Dollars)**	**Institution Supported**	**Type of Support provided by USAID**	**Program**
MDB Financing						
1999	Philippines	Renewable Energy Isolated Grids Project	$4,000,000	World Bank/ASTAE	Though USAID supported staff at the World Bank and high level collaboration with WB officials through Winrock International, IR 3.2 influenced renewable energy systems for island grids loan. Approved by Bank Board in June of 1999.	NGOREI
1999	India	Andhra Pradesh Power Sector Restructuring	$50,000,000	World Bank/ASTAE	Though USAID supported staff at the World Bank and high level collaboration with WB officials through Winrock International, IR 3.2 influenced the financing of energy efficiency programs and DSM capacity building programs. Total cost listed is cumulative estimated total from 5 APL projects. Approved by Bank Board in February of 1999.	NGOREI
1999	India	Andhra Pradesh Integrated Agricultural DSM AIJ Project	$4,600,000	World Bank/ASTAE	Though USAID supported staff at the World Bank and high level collaboration with WB officials through Winrock International, IR 3.2 influenced an energy efficient agricultural pump set loan. Approved by Bank Board in June of 1999.	NGOREI
1999	Guatemala	UNDP/GEF PDF-A Medium Grant for RE projects in Peace Zone	$325,000	UNDP/GEF	Though USAID supported staff at the World Bank and high level collaboration with WB officials through Winrock International, IR 3.2 influenced a variety of WB loans. Fundacion Solar used an initial $25K Block A PDF grant to develop pre-feasibility studies for 8 project locations in the Peace Zone, including 79 SHS in 2 communities; 2 micro-hydro community electrification projects; 2 community water pumping systems; and 2 crop drying micro-enterprise projects. CONAMA, the Guatemalan Environment Commission and GEF focal point, endorsed the proposal, which was approved by GEF in September. The European Union has signed to commit ($300,000) in co-financing.	NGOREI
1999	Brazil	PRODEEM funding	$764,108	Japanese Special Funds	IR 3.2, in collaboration with USAID/Brazil and Winrock, assisted in identifying projects and facilitated linkages between PRODEEM and funding agencies.	NGOREI
1999	Brazil	PRODEEM funding	$1,800,000	Fomin	IR 3.2, in collaboration with USAID/Brazil and Winrock, assisted in identifying projects and facilitated linkages between PRODEEM and funding agencies.	NGOREI
1999	Brazil	PRODEEM funding	$77,532	EU	IR 3.2, in collaboration with USAID/Brazil and Winrock, assisted in identifying projects and facilitated linkages between PRODEEM and funding agencies.	NGOREI
1999	Brazil	PRODEEM funding	$45,000	PNUD	IR 3.2, in collaboration with USAID/Brazil and Winrock, assisted in identifying projects and facilitated linkages between PRODEEM and funding agencies.	NGOREI
1999	Philippines	rural electrification	$70,000,000	World Bank/ESMAP	IR 3.2, in collaboration with USAID/Philippines and Winrock, gave technical assistance and in-country logistics in support of ESMAP's preparation of policy note for dialogue and negotiation of rural electrification projects incorporating 70-90 million for renewable energy	NGOREI

Detailed List of Loans						
Year	**Country**	**Activity**	**Amount of Financing (Dollars)**	**Institution Supported**	**Type of Support provided by USAID**	**Program**
1999	Philippines	hydropower	$150,000	PDOE	IR 3.2, in collaboration with USAID/Philippines and Winrock, developed a project financing model and provided a grant for project identification, preparation and technical assistance	NGOREI
Non-MDB Public Sector Financing						
1999	Guatemala	PV and micro-hydro for communities damaged by Hurricane Mitch.	$1,000,000	USAID/G-CAP via CARE	WI/REPSO joint unsolicited proposal for use of RE in Mitch reconstruction and disaster readiness efforts, resulted in Guatemala mission directing $1M of its supplemental funding to RE projects for severely affected communities.	NGOREI
1999	Brazil	PRODEEM (Federal RE Program)	$16,145,833	Ministry of Mines and Energy; World Bank	Consultancy services to MME for program restructuring; Provide technical assistance to NGOs, community groups, and firms in accessing PRODEEM funding;	NGOREI
1999	Brazil	Rural Electrification Program	$2,842,500	Bahia Ministry of Energy	Provided technical support in program development	NGOREI
1999	Brazil	PRODEEM (Federal RE Program)	$2,767,982	Ministry of Mines and Energy; World Bank	Consultancy services to MME for program restructuring; Provide technical assistance to NGOs, community groups, and firms in accessing PRODEEM funding;	NGOREI
Private Sector Financing						
1999	Brazil	Wind - Prainha	$10,000,000	Private Firm	Workshop to identify possible partners; Spread out of bid processes	NGOREI
1999	Brazil	Wind - Taíba	$5,000,000	Private Firm	Workshop to identify possible partners; Spread out of bid processes	NGOREI
1999	Brazil	Wind - Palmas	$2,500,000	Private Firm	Workshop to identify possible partners; Spread out of bid processes	NGOREI
1999	Nepal	Electric Vehicles	$1,500,000	Private firms	Policy support and technical assistance	NGOREI
1999	Nepal	Small - hydropower feasibility studies	$200,000	Private firms	Cost-share provided to carry out feasibility study	NGOREI

IR3.2.4 Performance Data Table - Indicators 1 and 2

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: FY 1999	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT IR 3.2.4: Host-Country Non-Profit Institutions Established or Strengthened			
INDICATOR 1: Number of host-country institutions (E) established and (S) significantly strengthened for the purpose of promoting renewable energy			
UNIT OF MEASURE: Actual number of public sector or non-profit NGOs established or strengthened (including on-going strengthening, and thus institutions counted more than once)	**YEAR**	**PLANNED**	**ACTUAL**
	1996	Baseline	(E) 4 (S) 8
SOURCE: G/ENV project tracking	1997	(E) 1 (S) 6	(E) 2 (S) 15
INDICATOR/DESCRIPTION: This indicator tracks new institutions established (for instance, a Renewable Energy Project Support Office) or existing institutions strengthened (by provision of direct funding, technical assistance, or training) explicitly for the purpose of promoting renewable energy.	1998	(E) 1 (S) 7	(E) 8 (S) 21
	1999	(E) 2 (S) 8	(E) 2* (S) 20*
	2000	(E) 1 (S) 9	
COMMENTS:	2001	(E) 1 (S) 10	
See annex 3.2.4 B for details	2002	(E) 1 (S) 12	
	2003	(E) 1 (S) 14	
	Total	(E) 9 (S) 40	

IR3.2.4 Performance Data Table - Supporting Documentation

Detailed List of Established or Strengthened Organizations					
Year	**Institution or Organization Strengthened/ Established**	**Established or Strengthened**	**Activity**	**Country**	**Program**
1999	PSA	Strengthened	WI provided TA for capacity building and on-field training; PV Projects submitted to PRODEEM	Brazil	NGOREI
1999	PESACRE	Strengthened	WI provided TA for capacity building and on-field training; PV Projects submitted to PRODEEM	Brazil	NGOREI
1999	CONBRAC	Strengthened	WI assisted in developing a business plan related to supplying rural electrification cooperatives energy demand using renewable energy	Brazil	NGOREI
1999	JUPARÁ	Strengthened	Site evaluation; elaboration of Project to submit to PRODEEM	Brazil	NGOREI
1999	MAMIRAUÁ	Strengthened	Energy demand evaluation at Mamirauá National Park; preparation of RE Projects for Community Centers (to submit to PRODEEM) and other private applications	Brazil	NGOREI
1999	IESB	Strengthened	Technical Assistance in installing PV systems	Brazil	NGOREI
1999	FVA	Strengthened	Technical Assistance in installing PV systems and in PV Projects submitted to PRODEEM	Brazil	NGOREI
1999	CONAMA	Strengthened	Government environment agency sensitized to renewables; endorsement obtained for El Quiché Regional Initiative with RE for Peace Zone	Guatemala	NGOREI
1999	Ministry of Energy and Mines	Strengthened	Ongoing consultations by REPSO on utility of RE for rural electrification, productive uses, and importance of gender	Guatemala	NGOREI
1999	CONAE - the Mexican National Energy Savings Commission	Strengthened	Winrock continued to assist CONAE and also the Secretariat of Energy Directorate of Policy and Energy Development, and the Consultative Commission for Renewable Energy Development (COFER), in the area of renewable energy electricity generation (grid-connected) policy development, and possible development of an incentive program for RE.	Mexico	NGOREI
1999	Mexican Rural Development Foundation	Strengthened	In addition to strengthening FMDR, Winrock staff has also strengthened Desarrollo Rural del Norte Potosino, A.C. and Desarrollo Rural de la Zona Media de San Luis Potosi, A.C.	Mexico	NGOREI
1999	Valley Trust	Strengthened	Technical Assistance & Training	South Africa	NGOREI
1999	Renewable Energy Development Group	Established	REPSO manager established and chairs network	South Africa	NGOREI
1999	Khupuka	Strengthened	Technical Assistance & Training	South Africa	NGOREI
1999	Ilembe Regional Council	Strengthened	Technical Assistance	South Africa	NGOREI
1999	Philippines DOE	Strengthened	Introduced mechanisms for rural electrification and energy service delivery and identified barriers to market development.	Philippines	NGOREI
1999	Preferred Energy, Inc. (PEI)	Strengthened	Project and financial management systems, training in project technical analysis	Philippines	NGOREI
1999	Martin Chautari	Strengthened	Promoted electric vehicles through public meetings.	Nepal	NGOREI
1999	Himalayan Light Foundation	Strengthened	Feasibility Study carried out for a pilot project on employment generation using solar PV	Nepal	NGOREI
1999	Masyarakat Energi Terbarukan	Established	A forum for policy and RE promotion from research to industry	Indonesia	NGOREI

IR3.3 Clean Energy Production and Use

Self-Assessment

In FY 1999, the clean energy team exceeded performance targets for Intermediate Result 3.3 (IR3.3) meeting or exceeding seven of eight Intermediate Result (IR) targets.

Summary

Fossil fuels will continue to be the main source of energy worldwide for the foreseeable future. Nonetheless, USAID is working to facilitate developing countries' adoption of cleaner, sustainable, and fossil-fuel technologies.

In the area of clean energy, IR 3.3 promotes the development of technical solutions coupled with appropriate policy frameworks, economic incentives, investment capital, private sector partnerships, and capacity building. The Clean Energy team fosters private investment in clean-energy projects by supporting pilot projects, technical assistance, and regulatory reform.

IR 3.3 has three main programs: 1) Indian Zero Emission Electric Vehicle Project 2) Mexican Electricity Sector Support for Clean Technologies Deployment Project and 3) Sub-Saharan African Project to Harness Market Forces to Provide Energy and Reduce Greenhouse Gas Emissions.

In FY 1999, in conjunction with IR 3.3, the Energy and Environment Training IQC offered training in Integrated Resource Planning, Implementation of Regulatory Reform, Global Climate Change & Development, Emissions Trading, Macroeconomic Modeling for Climate Change, Economics of Climate Change, and Monitoring and Verification of Carbon Emissions (Sources & Sinks). In FY 1999 significant SSO resources were devoted to G/ENV Global Climate Change activities. (see *GCC Annex* for details)

Key Results

During FY 1999 the team made progress in a number of areas and laid the foundations for future results in India, Mexico, Southern and West Africa.

Assisting Missions to Enhance Environmental and Economic Development in West Africa. By developing a funding proposal for USAID/Ghana, SSO3 was able to assist the mission obtain a $1.5 million grant from the Africa Trade and Investment Program (ATRIP). In turn USAID/Ghana cooperated with SSO3 to assist the Economic Community of West African States (ECOWAS) to develop training and technical assistance for the West African Pipeline Project. The assistance will focus on improving the capacity of energy officials in Nigeria, Togo, Benin, and Ghana to negotiate a commercially developed and managed project with private sector pipeline partners. The project has long-term economic and environmental benefits including: greater availability of gas to alleviate the current regional energy crisis, more reliable access to electricity, and less greenhouse gas emissions from the flaring of natural gas.

Enabling Commercially Viable Electric Vehicle Markets in India.
IR 3.3 is facilitating the production and widespread use of electric driven scooters and auto-rickshaws in the Indian marketplace. In FY 1999, IR 3.3 leveraged over $800,000 in investments for the Indian Zero Emission Transportation (IZET) program. To establish the

framework for electric vehicle activities, a Memorandum of Understanding (MOU) was signed in FY 1999 between two private sector firms: Bajaj Auto and New Generation Motors. The two firms have agreed to cooperate in the development and deployment of electric vehicles.

Supporting Energy Sector Reform in Mexico.
IR 3.3 is facilitating the emergence of a restructured electric market in Mexico in order to reinforce the trend toward utilizing cleaner production technologies, integrating U.S/Mexican power sectors, developing more mini-hydroelectric resources, and increasing U.S investments in Mexican energy projects. To accomplish this, IR 3.3 is working with the Mexican state utility (CFE), the Mexican Secretariat of Energy and, the Mexican Secretariat of Environment & Natural Resources. Program activities in Mexico include preparing two separate power sector investment manuals: one addresses environmental permitting and the other addresses legal issues relating to energy sector project development. In FY 1999**,** as a result of USAID recommendations to the Secretaria de Energia, the Government of Mexico made modifications to the federal public procurement law (Ley de Adquisiciones de Obras Publicas). The modifications will allow CFE (the largest electric utility in Mexico) to enter into joint ventures and joint stock associations. These developments will assist CFE in attracting domestic and foreign capital for energy sector infrastructure development.

Promoting International Electricity Trading in Sub-Saharan Africa.
In Sub-Saharan Africa, IR 3.3 is developing cleaner energy supplies by facilitating international trade in electricity by creating and expanding transnational markets in electricity, tapping market resources for energy development, and tapping market incentives for private power through electricity tariff reform. To this end, in FY 1999 IR 3.3 brokered a partnership between the Ghana Public Utilities Regulatory Commission and the Maryland Public Utilities Commission in order to enhance tariff reform activities.

Coordinating with Other U.S. Agencies for Improved Access to Clean Energy. In FY 1999 IR 3.3 spearheaded the Agency's development of the three year, $30 million Clean Energy for the 21st Century Initiative. The interagency activity grew out of the clean energy technology development and export initiative based on a report by the President's Committee of Advisors on Science and Technology (PCAST). This program is designed to augment existing SSO3 activities assisting countries to promote sector reform, establish free market policies, institute energy standards, and strengthen energy institutions that enable energy sector development and private sector participation. Funding for this program is pending congressional approval.

Supporting SSO3's Energy Partnership Program. In FY 1999, IR 3.3 supported USEA/USAID's Energy Partnership Program (EPP) in developing seven new partnerships in Brazil, Central America, the Dominican Republic, Ghana, Guatemala, India, and Indonesia.

Performance and Prospects
Below is a review of IR 3.3 high level, "roll-up" indicators that contribute to overall SSO3 performance results.

Value Added Indicators

Indicator 1: *G/ENV field-based assistance provided in response to Mission/Bureau requests.* IR 3.3 responded to requests from 8 missions for technical assistance in AFR, ANE, and LAC through 62 field-based work-days. The IR 3.3 team provided technical and management assistance to development partners and missions, which often lacked personnel dedicated to fostering the production and use of environmentally sound energy. For example IR 3.3 work closely with USAID/New Delhi in developing and implementing the Indian Zero Emission Transportation project by providing technical and management support.

Indicator 2: *Mission buy-ins, add-ons, OYB transfers, IQC task orders*. United States Energy Association (USEA) results are captured under the IR 3.3 results framework. USEA attracted $360,000 in buy-ins from USAID/Nepal, USAID/ANE, and US-AEP.

Indicator 3: *Number of USAID policies, strategies, and programs reflecting G/ENV leadership*. In FY 1999, four USAID policies, strategies, and programs reflect IR 3.3 leadership at the Agency level. The highlight of IR 3.3 Agency leadership was in spearheading USAID's efforts in Mexico to promote the development of enhanced cross-boarder energy trading between U.S. and Mexico.

Indicator 4: *Number of international policies, strategies, programs, and projects influenced by G/ENV leadership*. IR 3.3 helped fulfill U.S. foreign policy objectives and commitments in four key areas: developing power pooling options in Southern Africa, enhancing energy trading between U.S and Mexico, enhancing electric vehicle options in India and Thailand, and creating the environment to develop the West African Pipeline project.

Programmatic Indicators

IR 3.3 Indicator 1: *Greenhouse gas emissions avoided.* In FY 1999, IR 3.3 activities helped reduce carbon dioxide emissions by 2,350 CTE, exceeding FY 1999 indicator targets. All of the GHG avoided from IR 3.3 activities was a result of deploying REACH (advanced combustion technology) at the 200 MW oil-fired Manzanillo Generation Facility in Mexico in conjunction with Electric Power Technologies, Inc.

IR 3.3.3 Indicator 2: *Value of private and public investment for clean energy leveraged*. In FY 1999, IR 3.3 leveraged approximately $14.425 million in clean energy investments, exceeding the indicator target. $6,000,000 of the leveraged amount was from the Maini (REVA) project in India. (see IR 3.3 Performance Data Tables for more detail)

IR 3.3.1 Indicator 1: *Number of public policies adopted and implemented to promote environmentally sound energy production and use through clean energy activities*. In FY 1999, IR 3.3 activities contributed to 1 adopted public policy, meeting FY 1999 indicator targets. The new Mexican policy enabled CFE, the Mexican state electricity utility, to tender 200MWs from a utility member of U.S.-based power pool. (See IR 3.3 Performance Data Tables for more detail.)

Management Issues
In response to FY 1998 staffing shortages, IR 3.3 hired a deputy for Clean Energy activities and uses the office-wide Presidential Management Intern. The new staff will strengthen the day-to-day management of field-work and IR 3.3's ability to support missions and bureaus.

In response to FY 1998 contract terminations, IR 3.3 initiated three new programs through the energy IQC in FY 1999: Sub-saharan energy project, Mexico/U.S. Energy Trading project, and the India Electric Vehicle Program.

Possible Adjustments to Plans
Pending approval from Congress, USAID will receive $30 million to expand SSO3 activities from President Clinton's five year, $100 million *Clean Energy for the 21st Century Initiative* in FY 2001. The new initiative was designed to augment existing USAID energy sector reform and capacity building activities: $13.5 million will go toward IR 3.3 activities. If the money is awarded, the PMP will be revised to reflect new activities

IR3.3 Performance Data Tables -Indicator 1

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use

APPROVED: FY 1999

COUNTRY/ORGANIZATION: G/ENV/EET

RESULT IR 3.3: Increased Clean Energy Production and Use

INDICATOR 1: GHG Emissions Avoided — (D) direct

UNIT OF MEASURE: Metric tons of appropriate GHG

SOURCE: Collaborators, cooperators, and stakeholders

INDICATOR/DESCRIPTION: Tracking IR 3.3's contributions to GHG emissions avoided relies on two separate measures to capture the direct and indirect results. While it is impossible to accurately insure GHG emissions, the indicator is a good proxy for the environmental soundness of G/ENV's programs. GHG emissions from fossil fuel generation (including refining and conversion), transmission, distribution, and end use.

Avoided GHG emissions that fall within G/ENV's manageable interests are measured in two ways: (D) emissions avoided by USAID-funded or directly assisted activities, and (C) emissions avoided by projects USAID has catalyzed.

The direct targets are based on experience gained through such activities as the Manzanillo power plant retrofit and coal Washeries Purchase Agreements. These targets reflect both the time lag involved in demonstrating and replicating investments and the normal bureaucratic process entailed in legislative policy changes. Baseline targets are realistic in light of the gap between initial activities and actual results.

***COMMENTS**:

1. **Level I SSO 3 Indicator 1**-The 2,350 tons of GHG emissions avoided were a result of deploying REACH advanced combustion technology at the Manzanillo power plant in Mexico. EPT, Inc. provided the technology to CFE. Emissions estimates are based on one-year operation of a 300 MW oil-fired power plant with an capacity factor of .85 (Bechtel)

Source: Bechtel and EPT, Inc.

YEAR	PLANNED	ACTUAL
1996	Baseline	(D) 2,350
1997	N/A	(D) 2,350
1998	N/A	(D) 2,350
1999	(D) 2,000	(D) 2,350*
2000	(D) 2,000	
2001	(D) 3,000	
2002	(D) 3,000	
2003	(D) 4,000	
Total	(D) 14,000	

IR3.3 Performance Data Tables -Indicator 2

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: 4/17/1998	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT IR 3.3: Increased Clean Energy Production and Use			
INDICATOR 2: Number of clean energy activities initiated by the private sector			
UNIT OF MEASURE: Number of activities	**YEAR**	**PLANNED**	**ACTUAL**
	1996	Baseline	2
SOURCE: Collaborators, cooperators, and stakeholders	1997	N/A	N/A
INDICATOR/DESCRIPTION: This is a "catch-all" indicator allowing the evaluation of any significant direct and indirect activity contributing to IR 3.3. It is also a qualitative indicator to recognize the time lag between the beginning of a project and its actual contribution to environmental improvement. For example, if a new coal plant using advanced coal combustion techniques is started in 1999, it may be five years before generation begins. Yet, those activities are a result of G/ENV's work and will ultimately contribute to reduced GHG emissions. Other examples include the coal washeries purchase agreements (ETIP) which were carried out in 1995, resulted in formation of on-the-ground projects in 1997, which will be in operation by 1999.	1998	2	4
	1999	2	7*
	2000	4**	
	2001	5**	
	2002	5**	
COMMENTS: 1. In Thailand, USAID assisted production of electric vehicles by Pholosith Motors (Bechtel) 2. In Mexico, USAID assisted application of REACH technology through EPT, Inc (Bechtel) 3. In India, USAID assisted formation of electric vehicle consortium in India with Bajaj Auto, Inc & New Generation Motor, Inc for the design and promotion of electric vehicles. (Bechtel) 4. In West Africa, USAID funded West Africa Gas Pipeline technical assistance activities in conjunction with the WAGP consortium: W. African state utilities, Shell, and Chevron (SSO3) 5. In Indonesia, USAID assisted in developing a partnership between PGO and PJB1 in Indonesia for hydro plant technical review activities (USEA) 6. In India, USAID assisted Automated Distribution Control project between KEB and DQE (U.S) in India. (USEA) **7.** In Central America, , USAID assisted AMM seek U.S. technologies for power pooling from GE Harris (USEA)	2003	5**	
	Total	23**	

***Preliminary revised targets pending review of the performance-monitoring plan.*

IR3.3.1 Performance Data Tables -Indicator 1

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: FY 1999	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT IR 3.3.1: Increased Clean Energy Policies Adopted and Implemented			
INDICATOR A: Number of clean energy policies (A) adopted and (I) implemented			
UNIT OF MEASURE: Number of policies	**YEAR**	**PLANNED**	**ACTUAL**
	1996	Baseline	1
SOURCE: Collaborators, cooperators, and stakeholders	1997	N/A	1
INDICATOR/DESCRIPTION: Indicator tracks the full spectrum of national, state, and local policy reforms in which IR 3.3 plays an instrumental role in advancing. IR 3.3 will track when policies are formally adopted and implemented. Results to be monitored from policy reforms may include economic incentives for adoption of cleaner energy or implementation of pollution codes and standards.	1998	0	N/A*
	1999	1	2*
	2000	1	
*__COMMENTS__	2001	1	
1. USAID assisted in improving Mexican electricity integration with U.S. In FY 1999: CFE (Mexican State Utility) recently tendered 200 MW of electricity from the U.S. (Bechtel)	2002	2	
2. In Mexico, as a result of USAID recommendations to the Secretaria de Energia, the Government of Mexico made modifications to the federal public procurement law (Ley de Adquisiciones de Obras Publicas). The modifications will allow CFE (the largest electric utility in Mexico) to enter into joint ventures and joint stock associations. These developments will assist CFE in attracting domestic and foreign capital for energy sector infrastucture development.	2003	2	
	Total	7	

IR3.3 Performance Data Tables -Indicator 2

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: FY 1999	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT IR 3.3.2: Clean Energy Technologies Adopted and Replicated			
INDICATOR A: Number of cases in which clean energy technologies are (D) demonstrated and (R) replicated in key sectors			
UNIT OF MEASURE: Number of cases	**YEAR**	**PLANNED**	**ACTUAL**
	1996	Baseline	(D) (R)
SOURCE: Collaborators, cooperators, and stakeholders	1997	N/A	N/A
INDICATOR/DESCRIPTION: Each cleaner energy program will track the number of cases in which a G/ENV-introduced technology is demonstrated in a key sector, and then replicated by partners. Key sectors where technology will be tracked include power generation, transportation, and methane utilization. ***COMMENTS:** *Demonstrated* 1. In India, USAID assisted in demonstrating state-of - the-art electric vehicle design through the Alternative Transport Project in concert with IZET & REVA (Bechtel) 2. In India, USAID assisted in demonstrating automated distribution control technology based on the Duquesne Light model through the Energy Partnership Program. (USEA) *Replicated* 1. In India, USAID assisted in replicating coal benefaction technology in India via USAID ETIP activities. (Bechtel) 2. In India, USAID assisted the REVA and ECORIC programs replicate U.S. electric vehicle technology. (Bechtel) 3. In Thailand, USAID assisted PHOLOSITH Motors in Thailand replicate U.S. electric vehicle technology. (Bechtel) 4. In India, USAID assisted in replicating automated distribution control technology based on the Duquesne Light model through the Energy Partnership Program. (USEA)	1998	(D) 1 (R) 1	N/A*
	1999	(D) 1 (R) 2	(D) 2* (R) 4*
	2000	(D) 2 (R) 2	
	2001	(D) 2 (R) 4	
	2002	(D) 3 (R) 4	
	2003	(D) 3 (R) 6	
	Total	(D) 12 (R) 19	

IR3.3.3 Performance Data Tables -Indicator 1

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: FY 1999	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT IR 3.3.3: Increased Investment in Clean Energy			
INDICATOR 1: Number of partnerships between U.S. and host-country businesses brokered			
UNIT OF MEASURE: Number of partnerships	**YEAR**	**PLANNED**	**ACTUAL**
	1996	Baseline	2
SOURCE: Collaborators, cooperators, and stakeholders	1997	N/A	1
INDICATOR/DESCRIPTION: Engaging the public and private sector in cleaner energy production and use will require U.S. and host-country partnerships for financial resources and technical assistance to be formed by key country institutions. This indicator will track the number of partnerships between these entities that are successfully brokered by SSO3.	1998	3	8
	1999	1	9*
	2000	8**	
	2001	8**	
	2002	9**	
	2003	10**	
***COMMENTS:**. 1. In India, USAID assisted in developing an electric vehicle partnership between two companies: Bajaj Auto & New Generation Motors (Bechtel) 2. USAID assisted in developing a partnership between ALESCO and NPT. (Bechtel) 3. In India, USAID assisted in developing a regulatory. partnership between Central Electricity Regulatory Authority and the Federal Energy Regulatory Commission. (USEA) 4. In Dominican Republic, USAID assisted in developing a regulatory partnership between the Superintendencia de Electricidad and the Florida Public Utilities Commission. (USEA) 5. In Indonesia, USAID assisted in developing a utility partnership between PLN Java-Bali Power Company 1 and Portland General Operations Company. (USEA) 6. In Central America, USAID assisted in developing a regulatory partnership between Central American Association of Regulators (ACERCA) and the Kansas Corporation Commission. (USEA) 7. In Ghana, USAID assisted in developing a regulatory partnership between Public Utility Regulatory Commission and the Public Service Commission of Maryland. (USEA) 8. In Guatemala, USAID assisted in developing a wholesale energy market partnership between Administrador del Mercado Mayorista and a consortium of U.S. transmissions coordinators. (USEA) 9. In Indonesia, The PT PLN Java-Bali Power Company I (PJB1) signed a Memorandum of Understanding (MOU) with Portland General Operations Company, Inc. (PGO) in April, 1999 to cooperatively review and evaluate proposals for possible modernization and/or rehabilitation projects of PJB1 hydro-electric plants in Indonesia. The MOU results from the USEA/USAID partnership program between PJB1 and PGO. (USEA)	Total	39**	

*** Preliminary revised targets pending review of the performance-monitoring plan.*

IR3.3.3 Performance Data Tables -Indicator 2

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: FY 1999	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT IR 3.3.3: Increased Investment in Clean Energy			
INDICATOR 2: Value of private and public investment leveraged by G/ENV			
UNIT OF MEASURE: U.S. dollars (millions)	**YEAR**	**PLANNED**	**ACTUAL**
	1996	Baseline	$23.3
SOURCE: Collaborators, cooperators, and stakeholders	1997	N/A	$100.0
INDICATOR/DESCRIPTION: Mobilizing investments and engaging partner participation, especially the private sector, in cleaner energy production and use is the highest result IR 3.3 is pursuing. Strong private sector collaboration bodes well for the sustainability of SSO3 programs, since cleaner energy provision is a highly commercial activity. Only private capital markets can command the financial resources needed to increase world energy supply to meet the growing demand, and only the incentives that drive private sector profitability can help ensure cleaner energy. Monitoring of private investment (and if appropriate public counter investments) may include equity, stock exchange and conventional investment instruments ***COMMENTS** 1. **Level I I *SSO 3 B* Result -** In India, USAID leveraged $300,000 from New Generation Motors to IZET for electric vehicle technology/market development. (Bechtel) 2. **Level I I *SSO 3 B* Result -** In India, USAID leveraged $500,000 from Bajaj Auto to IZET for electric vehicle technology/market development (Bechtel) 3. **Level I I *SSO 3 B* Result -** In Mexico, USAID leveraged $150,000 REACH technology funding from CFE to EPT, Inc (Bechtel) 4. **Level I I *SSO 3 B* Result -** In Thailand, USAID leveraged $3,000,000 for electric vehicle funding from Pholosith motors for expanded electric vehicle (Bechtel) 5. **Level I I *SSO 3 B* Result -** In India, USAID leveraged $6,000,000 from who from a joint venture between Maini and Amerigon for Producing REVA electric vehicles (Bechtel) 6. **Level I I *SSO 3 B* Result -** In Southern Africa, USAID leveraged $ 150,000 from member utilities of Southern Africa Power Pool for the establishment of a regional transmission coordination center (Bechtel) 7. **Level I I *SSO 3 B* Result -** In Ghana, USAID leveraged $25,000 from Maryland and Pennsylvania Public Utility Commissions to the Ghana PURC for the development of tariff structures (Bechtel) 8. **Level I *SSO 3 B* Result** - In West Africa, USAID leveraged $1,500,000 from ATRIP to the W. African Pipeline Project (SSO3) 9. **Level I I *SSO 3 B* Result -** In India, USAID leveraged $700,000 from KEB to Energyline, Inc for automated distribution control technology (USEA) 10. In the Philippines, USAID leveraged $100,000 from MERALCO to CSW, Inc for ABC accounting software. (USEA) **TOTAL =$13,425,000**	1998	5	$.05
	1999	10	$13.425*
	2000	10	
	2001	15	
	2002	15	
	2003	20	
	Total	75	

IR3.3.4 Performance Data Tables -Indicator 1

OBJECTIVE: Increased, Environmentally Sustainable Energy Production and Use			
APPROVED: FY 1999	**COUNTRY/ORGANIZATION:** G/ENV/EET		
RESULT IR 3.3.4: Improved Decision Making and Management by Host-Country Institutions			
INDICATOR 1: Number of host-country institutions strengthened			
UNIT OF MEASURE: Number of electric utilities, government agencies, businesses	**YEAR**	**PLANNED**	**ACTUAL**
	1996	Baseline	2
SOURCE: Collaborators, cooperators, and stakeholders	1997	N/A	4
INDICATOR/DESCRIPTION: As energy institutions shift from centrally planned to market economies, new tools for planning, analysis, regulation, and training are necessary to facilitate this transition. Under IR 3.3, each public or private institution receiving G/ENV assistance will define the result being pursued to strengthen its institutional capacity.	1998	2	4
	1999	2	12*
***COMMENTS:** 1. In Southern Africa, USAID strengthened SADC's ability to implement transnational power pooling through IR3.3 activities. (Bechtel) 2. In Southern Africa, USAID strengthened Southern Africa Power Pool's ability to implement transnational electricity trade through IR3.3 activities (identification of a U.S. technical advisor/ establishment of coordination center). (USEA/Bechtel) 3. In India, USAID strengthened Bajaj Auto's ability to implement commercially viable electric vehicle markets through IR3.3 activities. (Bechtel) 4. In India, USAID strengthened Maini's ability to implement commercially viable electric vehicle markets through IR3.3 activities. (Bechtel) 5. In Mexico, USAID strengthened CFE's ability to implement transnational electricity trading with U.S. and to implement clean energy technologies through IR3.3 activities. (Bechtel) 6. In Thailand, Pholosith's ability to implement commercially viable electric vehicle markets through IR3.3 activities. (Bechtel) 7. In India, USAID strengthened Central Electricity Regulatory Authority's ability to implement a transparent regulatory framework. 8. In Dominican Republic, USAID strengthened the Superintendencia de Electricidad's ability to implement a transparent regulatory framework for energy. 9. In Indonesia, USAID strengthened PLN Java-Bali Power Company 1's ability to evaluate/upgrade hydro facilities. (USEA) 10. In Central America, USAID strengthened Central American Association of Regulators (ACERCA)'s ability to regionally implement a transparent regulatory framework for energy. (USEA) 11. In Ghana, strengthened the Public Utility Regulatory Commission's ability to implement transparent regulatory framework for energy. (USEA) **12.** In Guatemala, USAID strengthened Administrador del Mercado Mayorista's ability to evaluate and purchase control room equipment (USEA)	2000	12**	
	2001	13**	
	2002	13**	
	2003	14**	
	Total	56**	

*** Preliminary revised targets pending review of the performance-monitoring plan.*

GLOBAL BUREAU ENVIRONMENT CENTER

FY 2002

RESULTS REVIEW

ANNEX E: SUCCESS STORIES

April 3, 2000

G/ENV Success Stories

SSO1

Local Communities Gain Resource Management Rights. SSO1 has successfully engaged communities in mapping and monitoring their traditional resource use. As a result, local communities are able to counter threats to their resource base from large-scale logging, mining, and other unsustainable activities. For example, the Indonesian village of Nangka used information generated by a mapping exercise to expel a logging concession, and in Saham-Bingge villagers succeeded in preventing the entry of an oil palm plantation into their ancestral lands. Similar successes from 1995 to 1999 have contributed to 334,481 hectares under improved management in Indonesia alone.

Successful Integration of Coastal and Land Use Planning. A province-wide coastal resource management plan in Lampung, Indonesia has improved the management of 1.6 million hectares of coastal and marine habitat. The development of local-level planning that is then taken up by higher levels of government is a concrete example of the decentralization and democratization hoped for in Indonesia. The Lampung coastal strategy also puts into practice the connection between human welfare and natural resource management. Similar successes in coastal resource policy have led to improved management of areas in Tanzania and Mexico.

SSO2

Building Local Government Partnerships. RUDO/Pretoria assistance in FY 1999 enhanced the impact of the former Resource Cities partnership between the City of Lusaka, Zambia and Dayton, Ohio in the area of solid waste management. The RUDO supported a team building and strategic planning exercise involving Council members and their staff and representatives of civil society organizations. At the request of the Lusaka Council, USAID/Zambia and RUDO/Pretoria sponsored a study comparing local revenue generation against the costs of delivering Council services and maintaining facilities as required under the Local Government Act. The resulting strategic plan was adopted by the Lusaka Council as a guiding instrument for the development of the city. The newly re-elected mayor has endorsed the plan as her program for FY 2000.

Providing Infrastructure Credit Support. FY 1999 was the final year for credit support to the highly successful Municipal Infrastructure Finance Program in Central America. Known as PROMUNI, the program pioneered a regional capital market for municipal governments to access funds for constructing environmental infrastructure projects and shelter solutions. Over the five year life of the program, 867,490 families in Guatemala and Costa Rica benefited from improved potable water, solid waste collection and disposal, electricity, streets and stormwater systems, and municipal markets.

SSO3

Establishing Public and Private Sector Energy Program Synergies. To provide sufficient clean energy for continued economic growth, South Asian nations need to diversify their supply sources, improve energy efficiency, reform their energy sectors, and expand regional energy trade. To this end, USAID, through coordination with ANE and G/ENV SSO3, has designed the $50 million South Asia Regional Initiative/Energy Program (SARI/E) with partners such as the

U.S. Energy Association, Enron and Unocal to encourage this regional cooperation. This is a first step towards the development of a common regional approach to addressing those challenges.

This new $34-million, four-year regional initiative will encourage regional economic integration by promoting cooperation and trade in clean energy, natural gas and renewable energy sources, among South Asian countries. The SARI/E program is part of the larger South Asia Regional Initiative (SARI), a USAID-led effort designed to promote regional stability. The partner countries for the initiative include Bangladesh, India and Nepal. SARI/E will provide technical assistance and training to support regional energy development, cooperation and eventual trade in energy resources among South Asian nations.

Assisting Missions to Enhance Environmental and Economic Development in West Africa. By developing a funding proposal for USAID/Ghana, SSO3 assisted the mission to obtain a $1.5 million grant from the Africa Trade and Investment Program. The grant will assist the Economic Community of West African States to develop training and technical assistance for the West African Gas Pipeline Project. The assistance will focus on improving the capacity of energy officials in Nigeria, Togo, Benin, and Ghana to negotiate a commercially developed and managed project with private sector pipeline partners. The project has long-term economic and environmental benefits including: greater availability of gas to alleviate the current regional energy crisis, more reliable access to electricity, and less greenhouse gas emissions from the flaring of natural gas in Nigerian oil fields.

SpO1

Leading, Managing, and Implementing USAID Climate Change Programs. The SpO1 Climate Change Team provides leadership in managing and implementing USAID climate change programs, and represents the Agency in international activities under the United Nations Framework Convention on Climate Change (UNFCCC). A principal activity of the Team has been development of the Technology Cooperation Agreement Pilot Project (TCAPP), an interagency program supported by USAID, USDOE, and USEPA and implemented by the National Renewable Energy Laboratory (NREL). TCAPP is designed to assist the U.S. in meeting UNFCCC technology transfer obligations by facilitating international investment in clean energy technologies in developing and transition countries. New investment actions developed under TCAPP in Brazil, Egypt, Kazakhstan, Mexico, and the Philippines include business matching programs, private sector solicitations, policy reform actions, pre-feasibility studies, and donor meetings. Due to these successes and to future plans to implement investment projects, TCAPP has become an innovative model for technology transfer under the Convention.

The SpO1 Team works to strengthen developing and transition country participation under the UNFCCC. Drawing on USAID experience and expertise in capacity building, the SpO1 Team and G/ENV led U.S. negotiations at the Fifth Conference of the Parties (COP-5) meeting in Bonn by preparing and delivering the U.S. intervention on capacity building. Additionally, the Team supported a wide range of capacity building activities worldwide to strengthen developing and transition country participation in UNFCCC negotiations, such as several efforts to assist small island states that are most vulnerable to sea level rise.